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ABSTRACT

Detailed information on individual programs is presented in this tenth annual evaluation of federally-funded programs in education. The evaluation information for each program covers its legislative mandate, funding history, goals and objectives, operations, scope, effectiveness, progress, and ongoing or planned evaluation studies. Sixteen elementary and secondary education programs are reviewed in the first section, touching on migrant and bilingual education, institutionalized children, instructional resources, school safety, emergency aid, and teacher fellowships. The section on postsecondary education evaluates 31 programs in language and skills training, continuing education, and school facilities construction that aid students through basic grants, workstudy, loans, and fellowships. Thirteen programs for the handicapped, eight projects in vocational and adult education, and twenty-one developmental programs are examined in the last three sections; among the projects involved are state handicapped programs, disadvantaged and Indian vocational training, interlibrary cooperation, and teacher, women's, drug, and environmental education. Two appendices list all fiscal 1980 evaluation contracts and describe 12 assessments of program evaluability. (Author/RW)

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ANNUAL EVALUATION REPORT

Volume II
Fiscal Year 1980

EA 014 133

U.S. DEPARTMENT OF EDUCATION
Office of Evaluation and Program Management

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Foreword

This 10th annual report to Congress on Federally funded education programs is the first such report submitted by the newly-established Department of Education. The programs described were transferred from the Office of Education to the Department of Education in May 1980. The report responds to Congressional mandates set forth by Section 417(a) of the General Education Provisions Act; the Education Amendments of 1978; and the Education Amendments of 1980.

For the first time, the report is divided into two volumes. Volume I, which is intended for general distribution, provides a broad view of the Department's evaluation mission and activities. It also presents evaluation overviews for elementary and secondary education programs, postsecondary programs, and special category programs (e.g., vocational education, education for the handicapped). Finally, Volume I discusses the highlights and the uses made of recent evaluation results.

Volume II contains detailed information on individual programs and evaluations and will be distributed to appropriate Congressional committees as well as other interested readers. The reason for the two-volume format is that the report is read by diverse audiences who have differing needs for evaluation information. Some have a general interest in the effectiveness of Federal education programs while others require detailed information on specific programs. It is anticipated that the two-volume report will be a more flexible and efficient means of responding to specific informational needs.

Program descriptions in this volume have been divided into three major areas: Elementary and Secondary Education; Postsecondary Education; and Special Category Programs. The information reported is current as of June 30, 1980, which is the date by which drafts of program chapters were completed. Subsequent revisions were largely editorial in nature and did not necessarily include budgetary, legislative, program and evaluative data subsequent to that date. Evaluation information for each program includes:

- a brief funding history
- a description of program goals and objectives
- a review of program operations
- an analysis of program scope
- a report on program effectiveness and progress, and
- a history of ongoing and planned evaluation studies.

It should be noted that any FY 1982 budget figures cited in the Report refer to the Administration budget which was submitted to Congress early in January 1981 and may, therefore, be different from the funds actually appropriated.

The fiscal year 1981 Report, representing the Department's first full year of operation, will contain updated evaluation reports on programs described in this document as well as comparable reports on programs transferred to the Department from other Federal agencies as a result of the Department of Education Organization Act.

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A.

Evaluation of Elementary and Secondary Education Programs

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Education of Disadvantaged Children

Legislation:

Title I of the Elementary and Secondary Education Act of 1965, as amended, by P.L. 95-561, Part A "Programs Operated by Local Educational Agencies"

Expiration Date:

September 30, 1983

Funding History:

Year:	Authorization: 1/	Appropriation:
1966	$ 1,192,981,206	$ 959,000,000
1967	1,430,763,947	1,053,410,000
1968	1,902,136,223	1,191,000,000
1969	2,184,436,274	1,123,127,000
1970	2,523,127,905	1,339,050,900
1971	3,457,407,924	1,500,000,000
1972	4,138,377,672	1,597,500,000
1973	4,927,272,941	1,810,000,000
1974	4,182,509,627	1,719,500,000
1975 2/	7,954,872,444	3,776,000,000
1976	4,692,511,963	2,050,000,000
1977	4,660,666,596	2,285,000,000
1978	5,075,334,514	2,735,000,000
1979	5,683,777,500	3,228,382,000
1980	6,400,564,000	3,265,593,000
1981	7,049,521,000	3,536,772,000

Program Goals and Objectives:

Section 101 of P.L. 89-10, "The Elementary and Secondary Education Act," as amended, states:

> "In recognition of the specific educational needs of children of low-income families and the impact that concentrations of low-income families have on the ability of local educational agencies to support adequate educational programs, the Congress hereby declares it to be the policy of the United States to

---

1/ The total authorization and appropriation levels are reflected in these columns (not just those for Part A). Authorizations and appropriations for Part A programs are shown in Table 1 of the text, and funding for each Part B program is reported in the subsequent chapters on those programs.

2/ Commencing in 1976 the program is advance-funded from the prior year's appropriation bill. This results in a doubling up of funding in 1975.

> provide financial assistance ... to local educational agencies serving areas with concentrations of children from low-income families to expand and improve their educational programs by various means (including preschool programs) which contribute particularly to meeting the special educational needs of educationally deprived children."

Section 124, which states the requirements of local district programs, specifies under (a) "Purpose of Program" that a district may use Title I funds only for programs "designed to meet the special educational needs of children ..." and must include in its project evaluation "objective measurements of educational achievement" (subsection (g)). Additional emphasis is given to educational goals and instructional services to meet those goals in Section 124 (f, 2), which prohibits the use of Title I funds for health, social, or nutrition services unless the district has requested help from the State in locating and using other sources of funds for those services and has been unable to find any. Implementing these legislative provisions are proposed regulations requiring the "establishment of educational objectives and instructional strategies" (Section 116a.105, Federal Register, Volume 45, No. 114, June 11, 1980, pp. 39712-39764).

Program Operations:

The operations of Title I are specified fairly clearly in the law and are described below in terms of eight major activities: (1) the allocation of funds to districts, (2) the identification of eligible schools, (3) the selection of eligible students, (4) the provision of services to them to meet their needs, (5) the documentation that Title I services do not replace those they are already entitled to (from district, State, or other Federal programs), (6) inclusion of important groups such as parents in decision-making, (7) evaluation of the efforts, and (8) guidance and monitoring on all these areas from the State. Each of these eight major activities is described briefly below in terms of the legislation. The outcomes of each are described in the major section "Program Effectiveness and Progress," which follows the section, "Program Scope."

1. Funds allocation

There are three types of grants to districts: Basic, Concentration, and Incentive. As might be expected given the purpose of this program to assist local agencies with concentrations of students from poverty backgrounds (see above), the allocation of funds for Basic Grants to districts is based on a formula which incorporates, as one of its elements, counts of children from poor families living within their boundaries. The other element is the State's average per-pupil expenditure (or 80% or 120% of the Nation's average per-pupil expenditure if a State's average falls outside this range). Specifically, a district is authorized under Section 111 of Title I to receive a grant equal to:

40%	times	the number of students aged 5-17 from families in poverty living in the district plus the number of students from local institutions for the neglected, or delinquent, or in foster homes (Section 111, c)	times	the State's average per-pupil expenditure (or 80% or 120% of the Nation's average per-pupil figure, as noted above)(Section 111, a, 2A).

A family is defined as "in poverty" for the purpose of the above counts if its income meets either of two conditions: (1) the income falls below the Census Bureau's criterion for poverty measured by the Orshansky index (Section 111, c, 2A) or (2) the income exceeds that criterion due to the receipt of AFDC payments (Section 111, c, 2B). 3/

It is clear that Census data are crucial to the workings of the formula and the law contains several provisions to overcome problems this poses. For example, in cases where Census data describe a geographical unit other than school districts (usually counties), the grant is computed by the Federal agency for those other units, and the State is responsible for distributing the funds to districts (often called sub-county allocations") (Section 111, a, 2B). Also, since Census data are collected so infrequently, there are provisions for computing district allocations on more recent data if the district's population has changed drastically (Section 111,a, 3D). 4/

The formula and provisions for collecting the various possible data are used to determine the size of grant a district is entitled to receive. When appropriations for the Title I program as a whole are insufficient to make all the grants as computed, however, the Part B programs to State agencies (for migrant, neglected/delinquent, and handicapped programs) are fully funded, certain set-asides are computed, and the remainder is distributed in Part A Basic Grants (in proportion to each district's entitlement). Section 193(a) provides, however, that no district shall receive, due to this "ratable reduction," a grant which is less than 85% of the one it received the previous year.

3/ Section 111, c, 1B provides, however, that grants for FY 79 could count only 2/3 of those children whose families met this second condition, making the formula for grants that year the same as before the Education Amendments of 1978.

4/ An additional funding complication requires that 1/2 the funds in excess of the national FY 79 appropriation be distributed to States and districts on the basis of the number of children in families below 50% of the national median income for a family of four (according to the 1975 Survey of Income and Education). The remaining half of the excess over the FY 1979 level is distributed according to the formula described above.

Section 117 provides for a second type of funding for districts under Title I, the Concentration Grant. The purpose of such a grant is "to provide more effective programs of instruction, especially in the basic skills of reading, writing, and mathematics, to meet the special educational needs of educationally deprived children" in districts whose counties have especially high concentrations of children from families in poverty (Section 117, a). To qualify, a district's county must have 5,000 or more students counted for the purpose of determining the size of its Basic Grant (Section 111, c) or have 20% or more of its students be those so counted. The size of a district's or county's Concentration Grant is the same proportion of the national total appropriated for Concentration Grants that year as the area's Basic Grant is to the national total of Basic Grants. The Concentration Grant is viewed as a supplement to the Basic Grant, to be used as described in the district's project application approved by the State.

A third type of grant to districts is the Incentive Grant authorized in Section 116 of Title I. A district's eligibility for an Incentive Grant depends on whether its State has a compensatory education program which (1) serves only educationally deprived children, (2) has performance objectives related to educational achievement and evaluates projects acccording to them, (3) provides supplementary services to meet special educational needs of participants, (4) keeps and makes available necessary records, (5) is closely monitored, and (6) distributes at least 50% of its funds within a district to schools serving high concentrations of students from poor families (Section 116, a, 2).

A State receives funds under Section 116 equal to 50% of the total funding of its own State compensatory education program. A district's Incentive Grant is then the same proportion of its State total as its Part A Basic Grant is of the State's total Basic Grants. When there are fewer funds appropriated at the national level than necessary to make all the Incentive Grants, each district's entitlement is ratably reduced (Section 116, d). There is, however, an additional provision that if a State's funding of its own compensatory program increases from one year to the next, the sum of the Incentive Grants received by its districts will not decrease (Section 116, c, 3).

To summarize, a district's Basic Title I grant (and its Concentration Grant if that subprogram has been funded that year) is based on its numbers of students from families in poverty and the per-pupil expenditures for its State. The law also contains several provisions for updating the counts or adjusting for drastic shifts in population.

2. Identification of eligible schools

Once a district receives its Title I allocation it must rank its schools based on the estimated concentration of children, aged 5 to 17, from poverty families in each school's attendance area. In making this determination, a district can use any or all of a number of measures (Census counts, AFDC, free lunch, housing, health, etc.) if approved by the State.

There are also several ways to do these rankings. One can simply order the schools, or use variations: the 25 percent rule (meaning that any school with 25% or more of its students from poverty backgrounds can be designated a Title I school as long as certain funding constraints are met, Section 122, a, 1); serve previously eligible attendance areas (Section 122, c); use eligibility by actual enrollment (Section 122, b); and serve lower ranked schools having a greater incidence of educational deprivation (Section 122, a, 2A).

An assessment must be made of the special educational needs of children residing in the attendance areas of these eligible schools (called a needs assessment) to (1) identify the educationally deprived children, (2) identify the general instructional area for the program to focus on, and (3) diagnose the specific needs of children (Section 124, b).

3. Selection of students to participate

Once the eligible attendance areas and general instructional areas of emphasis have been identified, the district must select students to participate who show the greatest need for those services (Section 123, a). In general this means serving the neediest students, but there are also provisions for continuation of services to educationally deprived children no longer in greatest need (Section 123, b); continuation of services to educationally deprived children transferred to ineligible areas in the same school year (Section 123, c); skipping children in greatest need who are receiving services of the same nature and scope from non-Federal sources (Section 123, d); and serving all students (in a schoolwide project) if the school has 75% or more of its students from families in poverty and contributes funds from its own sources to the special compensatory program (Section 133).

4. Provision of services to meet special educational needs of participating students

As noted above, Title I services are mostly instructional in nature. Health, social, or nutritional services can be provided if the district has requested State help in finding other ways to support them (but has been unable to locate such other sources of funding) (Section 124, f, 2). The services must be of sufficient scope to show promise of remediating student needs (Section 124, d), be coordinated with services from other sources (Section 124, f), show consideration for sustaining student gains (Section 124, k), and whenever possible, be guided by a plan developed for each student (Section 129). Services must be available to students in public and non-public schools of the attendance areas identified as eligible (Section 130).

5. Documentation by the district that Title I services do not replace those to which students are already entitled

The presence of Title I funds in a district should not diminish the services available to students from other sources of funds. Specifically, the amount of resources devoted per-pupil to education in the local agency must equal or exceed those expended the year before (maintenance of effort (Section 126, a)). If for some unforeseen reason, this cannot be the case, the district can get a waiver from the requirement, but only for one year. Furthermore, Title I funds can be used only for services which exceed the average per-pupil expenditure in a district (excess costs (Section 126, b)). Similarly, services supported by State and local funds in Title I schools cannot differ from the amount supported on the average in non-Title I schools by more than 5% (comparability of services (Section 126, e)). For individual students, the Title I services must be extra to those provided from non-Federal sources (supplement - not - supplant (Section 126, c)). In some special instances, costs and services for State and local compensatory programs--or programs being phased in to restructure education in a district to meet needs of educationally deprived students--may be excluded from the various computations (Sections 126, d and 131)). Sites offering school-wide projects need not comply with all the fiscal requirements as long as certain other conditions are met (Section 133).

6. Inclusion of important groups in decision-making

The Title I law specifies requirements for local and State activities as noted above but also requires that teachers and school boards be included in the planning and evaluation of the effort (Section 124, i). Similarly, parents of participating children must be informed of the program's goals and their children's progress as well as make recommendations and assist in helping their children (Section 124, j). Parent involvement is required in a formal sense, also, in the establishment and operation of Parent Advisory Councils. Each district, as well as each school having one or more FTE Title I staff and more than forty Title I participants, is required to have such a Council with a majority of the elected members being parents of Title I participants (Section 125).

7. Evaluation of the effectiveness of the services

Districts must evaluate the effectiveness of their programs in meeting the special educational needs of participating students according to a schedule published by the Department which ensures that each year the State's evaluation report is representative of efforts in the State (Sections 124, g and 183, b). These required evaluations must include "objective measures of educational achievement" (Section 124, g, 2), be structured according to one of three evaluation models or an approved alternative (Section 183, d and 45 CFR Sections 116a.170 - 116a.177), and include a measure of sustained achievement over longer than twelve months (Section 124, g, 2).

8. Administration of Title I by State agencies

Several requirements on local districts in their design and conduct of Title I are described above. The responsibility for ensuring that districts do comply with the law and regulations falls on State educational agencies. Specifically, the law provides for State approval of district applications, rule-making, technical assistance, monitoring withholding of funds, program audits, and audit resolutions (Sections 164-170 of Title I). To perform these duties, a State is authorized by Section 194 to use up to 1.5% of the total grants received by districts and agencies in the State (or $225,000, whichever is more).

The remainder of this Chapter describes the "Program Scope" and "Program Effectiveness and Progress." In the former are brief descriptions of overall funding and program participation estimates. The latter of the two sections summarizes available information on the characteristics of districts, schools, and students participating as well as descriptions of the nature and effects of that participation.

Program Scope:

Title I funds represent about 3% of the total national expenditure for public elementary and secondary education. Table 1 depicts the funding of Part A, Regular grants to local districts, over the ten-year period from 1970-1979. Shown there are the authorized level, the actual appropriations, and those appropriations adjusted for inflation with 1970 as the base year. The increase in authorization during that period was 96%; appropriations increased 90%; "constant dollar" appropriations increased 5.2%.

Table 1. ANNUAL FUNDS FOR ESEA TITLE I, PART A REGULAR GRANTS
(millions of dollars)

Year	Authorized Level	Actual Appropriations	"Adjusted" Appropriations
1970	2,418	1,183	1,183
1971	3,335	1,300	1,236
1972	3,997	1,365	1,253
1973	4,750	1,483	1,308
1974	3,993	1,396	1,131
1975	6,106	1,539	1,122
1976	4,151	1,568	1,068
1977	4,085	1,653	1,063
1978	4,293	1,851	1,116
1979	4,736	2,258	1,244

Funding for the two other types of Part A grants: Concentration Grants and Incentive Grants, has been smaller of course: Table 2 shows those figures.

Table 2. FUNDS FOR PART A, SPECIAL GRANTS (millions of dollars)

Budget Year	Concentration Grants	Incentive Grants
1979 (FY 80)	150	00
1980 (FY 81)	150	00
1981 (FY 82)	150	17

Currently all 50 States, the District of Columbia, all outlying territories (e.g., American Samoa, Guam, Trust Territory of the Pacific, the Virgin Islands, Puerto Rico, and the Northern Marianas) and the Bureau of Indian Affairs receive Title I funds. About 87% of all school districts received Title I funds for the 1979 fiscal year (NCES, 1979), and about half (7,000) receive Concentration Grants, 80% of whom are in urban areas.

The size of Title I grants varies considerably. Most (62%) are between $10,000 and $100,000, but 25% of them are $100,000 or more (accounting for 84% of the funds). Nearly 5 million students or about 10% of the elementary and secondary students in public schools are provided services with Title I funds; nearly 200,000 students, or about 5% of the enrollment in non-public schools were served by Title I during Fiscal Year 1978 (State performance reports, FY 1978).

Program Effectiveness and Progress:

In the re-authorization of Title I in 1977-78, members of Congress inquired about many aspects of the program, including the effectiveness of the funds allocation, school selection, and student selection procedures for targeting services to educationally needy students in impoverished neighborhoods, the degree to which those services supplement other educational activities of the participating students, the effectiveness of the services in improving student performance in the basic skills, the extent of parent involvement, and the ways in which State personnel administer the program. This section is organized to discuss available data on each of the eight aspects of Title I described under "Program Operations" above--funds allocation, school selection, student selection, provision of services, documentation that they do not replace those normally provided by local and State funds, evaluation of project effectiveness, incorporation of parents and others in decision-making, and State administration. As a ninth and major topic, the effectiveness of Title I services in improving student performance in the basic skills is discussed.

1. The result of the formula in allocating funds to school districts

As noted above, the purpose of Title I is to provide funds for extra services to educationally disadvantaged students in districts in areas of high poverty. The formula uses estimates of the amount of poverty in the area (counts of children from poor families) and average educational expenditures to determine the size of district grants. One rough way to assess the adequacy of the formula for allocating funds to districts in poor areas is to note the correspondence between the numbers of children counted as being from impoverished backgrounds and the amount of funds received. Table 3 below shows this correspondence.

Table 3. PROPORTIONS OF LOW INCOME STUDENTS AND TITLE I FUNDS IN DISTRICTS IN FOUR U.S. REGIONS

	% of the Nation's formula eligible children ('70 Census)	% of the Nation's Title I funds (FY 77)
Northeast	18.8	22.9
Northcentral	21.0	22.2
South	45.5	39.9
West	14.7	14.9

This allocation pattern, especially as illustrated by comparing the South with the Northeast, results from differential cost factors. Most Northeastern States receive over $200.00 (in FY 77) for each formula-eligible child as a result of high State per-pupil-expenditures in these States. In contrast, over one half of the States in the South received the minimum sum of $163.00 (80% of the national average) per formula-eligible child as a result of their lower funding in education.

One explanation for the cost disparity between the southern and northeastern regions stems from the higher educational expenditures found in urban and suburban areas in northeastern States. Table 4 illustrates these differences.

Table 4. REGIONAL ALLOCATION PER FORMULA-ELIGIBLE CHILD BY URBANICITY

	Northeast	North Central	South	West	% Total Allocation	% Total Formula-Eligible Children
Central City	$237.76	$207.99	$173.91	$196.78	38.8	36.2
Suburban	$233.67	$208.29	$172.01	$198.30	27.9	27.2
Nonmetro	$220.56	$195.96	$165.55	$191.62	33.8	36.6

As shown by these two tables, the correspondence between numbers of students from poor backgrounds and receipt of funds is high. NIE found, specifically, that: (1) as the number of formula-eligible children in a county increases, the average Title I allocation to the county rises consistently, and (2) district allocations reveal patterns similar to those observed at the county level (1977).

2. The result of district practices in selecting eligible schools

Two recent surveys have found that districts have Title I programs in 90-95% of their eligible schools (NIE, 1976; Wang, et al., 1978). Of just over 62,500 public schools having any of grades 1-6 in 1976-77, about 68% received Title I funds (27% only Title I plus 41% Title I and some other compensatory program funds); 14% received only other compensatory funds, 18% received none (Hoepfner, et al., 1977). A survey of 213 Title I districts in 1976-77 found that most often (in 73% of the districts) they used data on the number of children receiving free or reduced-price lunches for each of their schools to rank them for the purpose of determining Title I eligibility. Second in frequency (in 57% of the districts) was the use of AFDC counts; third was census data on family income (42% of the districts) (Hemenway, et al., 1978). These practices result in Title I programs being offered more often in schools with larger proportions of their students from families in poverty, as shown below in Figure 1.

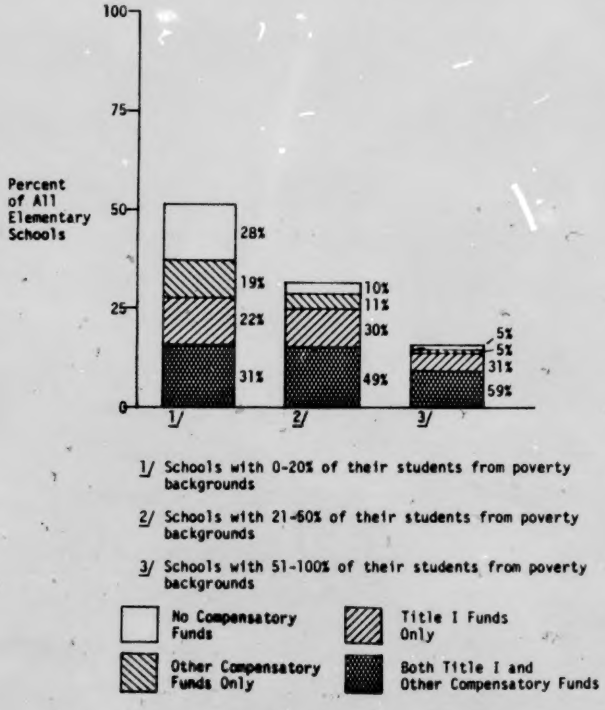
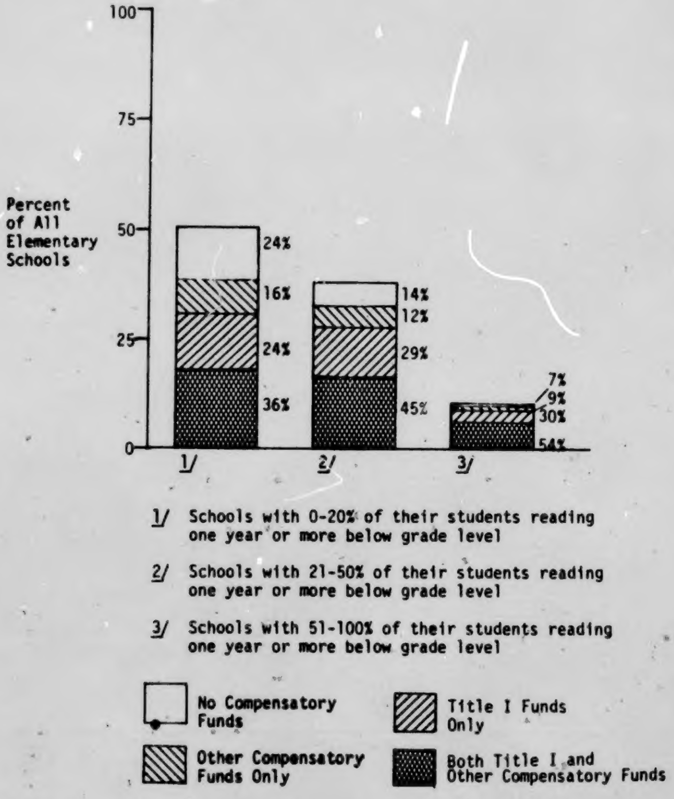


Figure 1. Elementary Schools with Differing Proportions of Students from Poverty Backgrounds

It is clear from Figure 1 that as the proportion of students from poverty backgrounds increases in a school, so too does the likelihood that it will be a Title I school.

As noted above in the "Program Operations" section, it is possible for schools to be declared "Title I eligible" if they have large proportions of educationally deprived children (but not necessarily high enough proportions of economically disadvantaged ones to rank well in the district's ordering of schools according to the poverty of their attendance areas). To examine the impact of this alternative, it is interesting to note the correspondence between economic and educatonal deprivation of attendance areas. Figure 2 below shows the numbers of schools with different proportions of educationally deprived students offering Title I programs.



1/ Schools with 0-20% of their students reading one year or more below grade level

2/ Schools with 21-50% of their students reading one year or more below grade level

3/ Schools with 51-100% of their students reading one year or more below grade level

Figure 2. Elementary Schools with Differing Proportions of Educationally Deprived Students

One sees a pattern similar to that in Figure 1. As a matter of fact, the correlation between the number of educationally disadvantaged students in a school and the number of economically disadvantaged ones is .67. The correlation between those two numbers for schools within the same district is .91 (Breglio, et al., 1978). Almost all schools (91%) having greater than half of their students from poor homes and greater than half performing considerably below grade level offer Title I programs (97% offer Title I or some other compensatory program). The 3% of these schools which do not have a compensatory program (Title I or something else) are most often in urban settings.

3. Student selection for services

Title I services are supposed to "meet the special educational needs of educationally deprived children" attending school in the eligible attendance areas. The proposed regulations state that a district must use "specified criteria and--to the extent possible--objective data to select ... those educationally deprived children who are in the greatest need of assistance ..." (Federal Register, Volume 45, No. 114, June 11, 1980, page 39751, Section 116a.103).

It is difficult to assess how adequately the local procedures achieve the intent of the regulations due to differing definitions of educational deprivation, greatest need, etc. Early analyses of the targeting of services on needy students in the Sustaining Effects Study found that 75% of the schools in that study (which were a representative sample of the Nation's schools serving grades 1-6) had more than half of their Title I students falling at or below the 35th percentile on the nationally standardized reading test used in the study (Kenoyer and Cooper, 1980). (The 35th percentile and below is the level of performance at which most teachers judge students to need compensatory services.)

Another way to assess the adequacy of procedures is to assess the degree to which, for each school, the low-achievers tend to be in Title I, and the higher achievers not (and vice versa). This is quantified by a correlation between student achievement ranks on standardized tests in reading and whether or not each is in Title I. These correlations are almost all positive in reading, but not strongly so. The average correlation across schools was .37 in reading and .24 in math (Kenoyer and Cooper, 1980).

It is also possible to depict student participation in Title I separately for each quartile of the achievement distribution. The figures for grades 1-6 according to the Sustaining Effects Study are shown in Table 5 below (Breglio, et al., 1978).

Table 5. ACHIEVEMENT STATUS AND PARTICIPATION IN COMPENSATORY EDUCATION, GRADES 1-6
(Numbers in thousands)

	Compensatory Education Participants				Students Not In Compensatory Education			
	Title I		Other Comp. Ed.		In Comp. Ed. School		In School W/out Comp. Ed.	
Achievement Status	#	(%)	#	(%)	#	(%)	#	(%)
Bottom Quartile	1,579	(32)	718	(14)	2,110	(42)	560	(11)
2nd "	910	(19)	543	(11)	2,809	(58)	605	(12)
3rd "	368	(7)	411	(8)	3,600	(70)	762	(15)
Top "	89	(2)	301	(6)	3,772	(75)	869	(17)

It is important in reading Table 5 to note that the percentage figures add to 100% by row (except for rounding errors): that is, for example, 32% of the Nation's students in the bottom quartile are in Title I; 14% of the students in that quartile receive services only from other compensatory programs; 42% are in schools with compensatory programs but receive no services 5/ 11% are in schools which have no compensatry programs. Difficulties in targeting services on the neediest is evident in this table in that about 457,000 or 16% of the students in Title I tested in the upper half of the distribution (left column, 3rd and 4th rows). Possible explanations are problems with tests, teacher or parent preference for certain students to be in Title I, etc.

Other aspects involved in "targeting" involve the numbers of students with different characteristics being served by the program (as a consequence, presumably, of the selection procedures emphasizing educational need). An amendment introduced by Representative Simon of Illinois to the Higher Education Act of 1980 requests information as available on the effects of Federal education programs on students of different race, sex, and language groupings. Data on the sex, age, and language groupings of participants in this program in Fiscal Year 1977 are shown on Table 6.

5/ Of interest, especially in this row, is the 42% figure showing that many students scoring poorly on a standardized test do not receive services even though their schools have such programs. Other evidence suggests that this is partly due to poor selection procedures and partly due to unmet need--funding too low to serve all needy students.

Table 6. CHARACTERISTICS OF TITLE I PARTICIPANTS
(In thousands, grades 1-6 only)

Race	Number	(%)
White, not Hispanic	1,762	(61)
Black, not Hispanic	740	(26)
Hispanic	328	(11)
Other	58	(2)
Language		
English spoken at home	2,470	(84)
Spanish spoken at home	353	(12)
Other language spoken at home	113	(4)
Age		
5-6 years	354	(12)
7	506	(17)
8	519	(18)
9	503	(17)
10	510	(17)
11	418	(14)
12	128	(4)
Sex		
Female	1,094	(44)
Male	1,412	(56)

4. Services to Title I students

After major district-wide areas of need are identified through the annual needs assessment and students are selected to participate in Title I, services are provided to them, preferably according to a specific plan constructed for each student (Title I, Section 129). There are several ways to describe the provision of Title I services; this subsection addresses (a) per-pupil expenditures, (b) types of services provided, and (c) measures of the intensity of the services in reading and mathematics.

(a) per-pupil expenditures

Although estimates of per-pupil expenditures are difficult to collect from districts and to interpret (due to different accounting methods, etc.), it is possible to obtain rough indicators of Title I efforts by this method. A survey in 100 Title I districts estimated the Title I per-pupil expenditures to be $347 in 1975-76 (NIE, 1976). An estimate for the following year from the Sustaining Effects Study was $415, compared to $371 per-pupil from special district or State compensatory education programs (Hemenway, et al., 1978).

(b) types of services

NIE estimated that the proportion of Title I funds spent for instructional services in 1975-76 was 75%; a somewhat comparable estimate for the following year is 81% (Hemenway, et al., 1978). As displayed in Table 7, data from the Financial and Performance Reports from all States, Fiscal Year 1978, show numbers of students receiving different services as shown in Table 7.

Table 7. STUDENTS AND SERVICES IN TITLE I
FISCAL YEAR 1978
(from State Financial and Performance Reports)
(in 000)

Service Area	#	Percent 6/
Reading/language arts	4,018	(82%)
Mathematics	1,666	(34%)
Other instructional 7/	539	(11%)
Attendance, social work, guidance	886	(20%)
Health, nutrition	783	(16%)
Transportation	162	(3%)
Other non-instructional 8/	764	(16%)

As is evident somewhat by Table 7, reading and language arts instruction is the area of activity most frequently supported in district Title I projects (95% of the districts). Much less often, of course, is support found for Title I non-instructional services. They are offered in approximately 25% of the districts, most often in southern States with low per-pupil expenditures in education.

Within a district, non-instructional services tend to be focused on students with greater needs. For example, in 1976-7, in both the psychological and the health service areas, students receiving non-instructional services:

-- were more likely to be poor than non-poor; and

-- were more likely to be low achievers than high achievers.

6/ Percentages do not add to 100% because some students received more than one type of service.

7/ Includes English as a second language, vocational, special activities.

8/ Includes libraries, resource centers.

(c) the nature and intensity of reading and math services

It was noted above that it is hard to analyze costs or services in education using per-pupil expenditures. In two national studies of Title I, an analysis method has been used which involves estimating the amount and type of educational resources (teacher's training and time of instruction, type of materials, etc.) to which students are exposed. Then the method applies to each resource an estimate of its average (or "standard,") cost. Hence, for each Title I student or group of students, one can record the "inputs," or resources used, multiply each by its estimated standard cost, and sum across resources. This yields an estimate of per-pupil costs attributable to the particular educational activity rather than to local salary and expense schedules. Comparisons across sites and various analytical efforts (relating costs to degrees of effectiveness for example) thereby become more meaningful. (See especially Haggart, 1978, for more discussion of this technique.)

It is possible, through this method, to note the costs of programs received by Title I students in contrast to those received by their peers (Table 8). Shown there are estimates of standard costs based on the resources involved; specifically, for a Title I/non-compensatory contrast for both reading and math services, and within each, the portion attributable to teaching personnel, support (clerical aides and other auxiliary personnel), and equipment and materials.

Table 8. ESTIMATED STANDARD COSTS OF SERVICES TO TITLE I READING OR MATH STUDENTS AND TO THEIR NON-COMPENSATORY PEERS

	Estimated Standard Costs (Averages)			
	In reading		In math	
	To Title I Students (n = 9,785)	To Non-compensatory Students (n = 35,781)	To Title I Students (n = 5,296)	To Non-compensatory Students (n=41,035)
Teaching personnel	336	219	193	124
Inst. support	17	3	15	2
Equipment/ materials	59	34	31	20
	412	256	239	146

(from Haggart, et al., 1978).

Of interest in Table 8 is the clear difference between amounts and types of resources comprising reading and math programs for Title I and non-compensatory students. For reading, the Title I students are offered services more than 1 1/2 times (161%) as great as those offered to their non-compensatory peers; similarly, for math the Title I program is 164% that of the regular one. This varies somewhat across grades, as shown in Figure 3, but is clearly an impressive difference (the difference of Title I supplement being highlighted below as the hashed portion on top of the regular program).

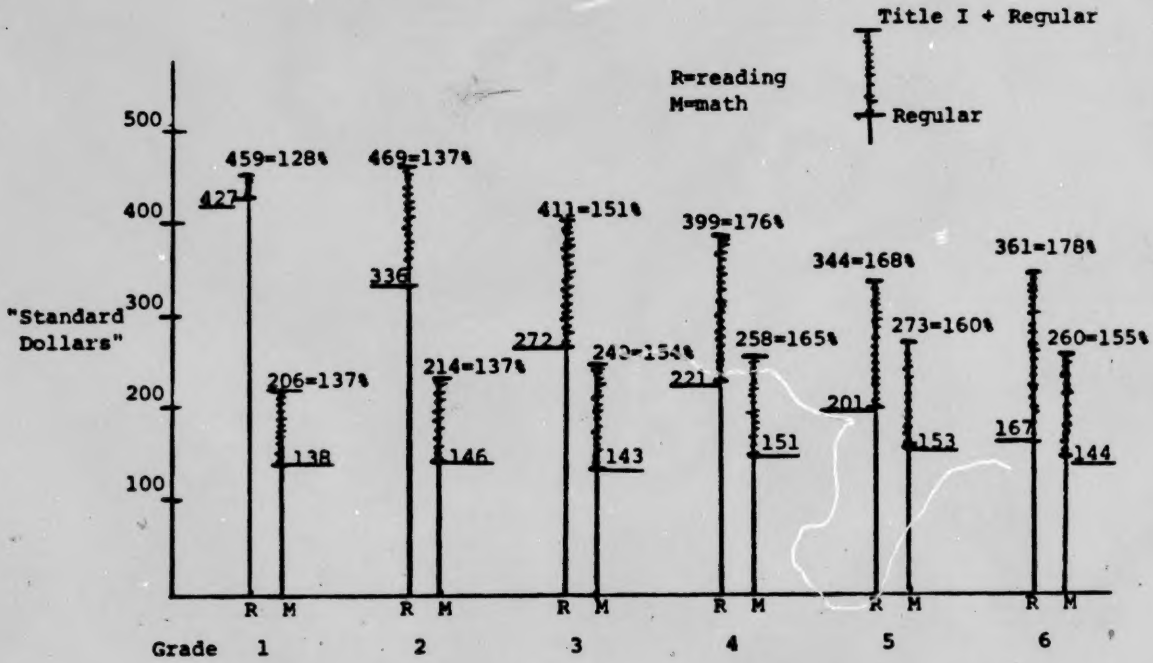


Figure 3. Estimates of Services to Title I Students in Reading and Math, Grades 1-6.

To repeat some of the observations noted above, and in an attempt to describe what accounts for the majority of the differences in costs between services received by Title I and non-compensatory students, it should be noted that:

- especially in grades 3-6 Title I students receive more hours of services in reading than their non-compensatory peers,

- through all grades 1-6 they receive more math,

- those services are more often in smaller groups, and/or

- those services are more often offered by a special teacher.

These figures about specific measures of services in reading and math are taken from a study in public schools. There is little comparable information to describe services to non-public students. In a sample of 214 Title I districts in 1977-78, 98 or 46% were providing services to non-public students; most of those services (in 89 of the 98) were provided in the non-public school itself; and most of them (in 92 of the sites) offered the services during normal school hours (Hemenway, et al., 1978).

5. Documentation that Title I services do not replace those to which students are already entitled

Title I has four fiscal requirements to ensure that Title I students get "their fair share" of services from their districts: (1) maintenance of effort (local and State funding in a district cannot decrease from one year to the next); (2) excess costs (Title I funds can be used only for costs of Title I projects which exceed the district's per-pupil expenditure); (3) comparability of services (district and State-funded services in Title I schools must be comparable to those in a district's non-Title I schools); and (4) Title I funds must supplement, not supplant, other funds for services to Title I students.

The measures required for the demonstration of comparability (per-pupil expenditures and student/teacher ratios) have been criticized at times by persons testifying before Congress, so the Education Amendments of 1978 authorize (in Section 102 of Public Law 95-561) a study in which a limited number of districts formulate and use alternative measures. Approximately forty districts have received waivers to use their alternative measures to demonstrate comparability of services between Title I and non-Title I schools during the 1980-81 schoolyear.

Section 417(a) of the General Education Provision Act (as amended by Section 1246 of the Education Amendments of 1978) requires that special attention be given in this report to the maintenance of effort requirement. As noted earlier, this requirement is intended to insure that an SEA or LEA does not lower its level of expenditures in a fiscal year (or years) so that Federal funds constitute a greater proportion of their total expenditures. This determination is made by comparing expenditures on an aggregate or per pupil basis for the two fiscal years preceding the year in which funds are sought. If an SEA or LEA fails to maintain its level of effort, it risks losing its Title I funds. (An allowance is made for exceptional circumstances which lead to a decline in the financial resources of an SEA or LEA, but waivers are granted for one year only, and agencies receiving waivers may not take that year into account when computing the final effort in subsequent years).

There are three main sources of information on maintenace of effort: waiver applications, audit reports, and an ongoing study. The most recent information from these sources indicates that from October 1, 1978 to September 30, 1979, four waiver requests were received and three were granted. The reason for granting these three waivers was that the school districts presented special levy propositions to the voters which were defeated twice within a 12-month period. In the single district where the request was denied, the district elected to maintain a large cash reserve in anticipation of future levy failures and therefore had sufficient resources to meet the maintenance of effort requirement. There were no HEW Audit Agency reports with a finding that local district failed to maintain effort.

The small study currently underway has involved visits to ten States which account, however, for 96 local districts out of compliance with the maintenance-of-effort requirement. Typically these districts are poor, spend little in education, have a large proportion of minority students, and are "Federally reliant." Many, also, are small. Some of the observations noted in these sites are that more expenditures are not the same as "effort" (an alternative might be, for example, expenditures divided by tax base), the grounds for waivers are too few, and the procedures to obtain a waiver are too lengthy. The study will also involve discussion of possible solutions to these problems in its report due by the end of the summer, 1980.

6. Inclusion of important parties in decision-making about Title I

As noted above, the law requires that teachers in Title I schools, school boards, and parents be involved in the planning and evaluation of local Title I projects (Section 124 (i) and (j)). The extent of such involvement is difficult to assess because "planning" can mean many different types of activities, and "involvement" is also subject to many interpretations.

When asked about planning activities in conjunction with the NIE Study in 1976-77, 84% of the Title I districts described a process beginning around April (on the average) of the preceding year and mentioned the importance of the meetings. The topic most often covered at such meetings was needs assessment; least often was training. Participants at such meetings are shown in Table 9.

Table 9. PEOPLE ATTENDING TITLE I DISTRICT PLANNING MEETINGS

Attended Planning Meeting	% of Title I Districts
Compensatory education teachers	76
Other compensatory education staff	68
Non-compensatory teachers	62
Principals/Assistant principals	94
District staff	81
Parents	74

(from NIE, 1978, page 116).

A second aspect of the involvement of these persons in Title I is keeping them informed. Districts have a variety of ways to accomplish this, and their relative effectiveness is difficult to assess. A survey of administrators in 213 districts in 1976-77 found districts using different numbers and combinations of eight major information dissemination strategies as shown below in Table 10.

Table 10. FREQUENCIES OF DISTRICT TITLE I COMMUNICATION PROCEDURES

Question: During this school year how many times did your district use the following procedures to keep such persons informed about the district Title I programs?

	Average
District-wide meetings of all concerned persons	2.5
Meetings of principals of Title I schools	3.8
Meetings of teachers of Title I schools	4.0
Meetings of District Title I Parent Advisory Council	3.9
Meetings of School Title I Parent Advisory Councils	3.8
Presentations of Title I information to the Board of Education	2.3
Presentations in district publications not specifically devoted to Title I	2.4
Stories in local news media	3.0

Parent involvement in various aspects is also formalized in the Title I law by a requirement for Councils. A study of the involvement of parents in Councils according to four Federal education programs is currently underway, but some rough descriptive data are available from the FY 78 State evaluation reports showing about 181,000 parents serving on school or district councils. Activities of such groups or district training for them are shown in Table 11.

Table 11. PARENT ADVISORY COUNCIL PLANNING ACTIVITIES AND TRAINING

	Percent of Districts
Type of involvement in planning the district's Title I program:	
Regularly scheduled meetings	78
Briefings by Title I staff	68
PAC meetings with Title I staff to plan the program	47
Mailed information on plans	34
PAC not involved in planning the program	4
No district Title I PAC	1
Training topics provided to the PAC by the district:	
Needs assessment, program planning, evaluation	86
How Title I works at national, State and local levels	82
Budget preparation	53
How to get people to work together	40
Parliamentary procedures	26
No training provided	8
No district Title I PAC	1

(from Hinckley (ed.), 1979, page 247).

In a survey of parents of 15,000 public school students in grades 1-6 in 1977, Title I parents were asked if they were aware of a special parent group associated with Title I, and 20% said they knew of such a group. They were also asked if they had voted in an election for the Council members or if they had heard about such an election; 82% had not.

7. Local evaluation of the effectiveness of Title I services

There has always been a requirement in Title I that local districts must evaluate their projects in order to do better planning, to keep parents and others informed of student progress, and to report to their State agencies. States use the information in a variety of ways and are responsible for compiling some data from the locals for reporting to the Federal agency.

In 1974 Congress added a section to Title I requiring that at least a core of the data collected and reported at the various levels to uniform across the Nation. To do this, the Department was required to (1) develop and require the use of evaluation and reporting models and (2) provide technical asssistance in that use and in the general improvement of Title I evaluation by States and districts. After five years of development work and consultation with States and locals, the Department did publish regulations requiring uniform collection and reporting of information about Title I (1) student participation, (2) parent activities, (3) staffing and training, (4) summer projects, and (5) student improvement in the basic skills.

Some districts and States began the proposed procedures before the issuance of final regulations, and as possible, data from such sites were included in the report to Congress due in February of 1980. Regulations were published in the Federal Register on October 12, 1979, incorporating the evaluation and reporting requirements mandated by the 1974 amendment as well as the new evaluation scheduling provision added to Title I by the Education Amendments of 1978. This latter provision allows local agencies to perform the required evaluation activities at least once in three years according to a schedule established by their States and approved by the Federal agency. (This latter approval is to ensure that data reported to the Department each year are representative of each State as stated in Section 183, b.) About half the States have pursued such a sampling approach, allowing their districts to do the required evaluations less often than annually. The others still require an annual evaluation.

The system of ten regional Technical Assistance Centers is crucial for helping States and locals conduct their evaluations. The results of a 1978-79 survey of districts about the technical assistance from the Centers also offers a glimpse of evaluation practices in Title I districts. At that time, 62% of the Title I districts said they would need help from the Centers when regulations made use of one of the three evaluation models mandatory. (As noted above, their use was made mandatory in the fall of 1979.)

State and district choice of evaluation model to use voluntarily was as follows:

		# Districts	% of Title I districts
A.	Norm-referenced	7,430	54
B.	Comparison group	235	2
C.	Special regression	214	2
D.	Another approach to be approved as an "alternative"	857	6

(from Goor, 1978). Evidence gathered informally since this survey suggests however, that far fewer will use an alternative model (none has been proposed for approval).

When asked about topics about which they would like assistance, the districts answered as shown in Table 12. This tabulation shows the five evaluation areas of greatest importance in districts to be the use of data for program improvement, the role of parent councils in evaluation, preparation of reports, selection of measures, and use of the Federal reporting metric (Normal Curve Equivalents-- NCE's). Other topics were mentioned by fewer than 25% of the districts.

Table 12. TOPICS IMPORTANT FOR TECHNICAL ASSISTANCE IN TITLE I EVALUATION

Topic	# Title I Districts	(%)
Evaluation for continuing program improvement	4,703	(34)
Role of Parent Advisory Councils in evaluation	4,538	(33)
Preparation of evaluation reports	3,953	(29)
Selection of evaluative measures other than tests	3,892	(28)
Implementation of normal-curve-equivalent (NCE) scores	3,718	(27)

Uniform evaluation practices and reporting were required under regulations for the first time for schoolyear 1979-80. The first State reports comprised of data from these practices in local districts will be due to the Department no later than February 1, 1981, in time for a 1982 report to Congress.

8. State Administrative Activities In Title I

As described above, State agencies are responsible for approving LEA applications, providing technical assistance to the LEAs, and monitoring local programs. (The LEAs bear the major responsibility for designing implementing, and evaluating their programs.) Each LEA provides to its SEA, in the three year application for a Title I grant, information describing its plans to comply with ESEA Title I regulations, guidelines, and program criteria. Similarly, States are required to submit a "Monitoring and Enforcement Plan" describing activities to insure that such compliance occurs.

An NIE study of State administration found that States varied widely in how they administered Title I (1977). For example, some States had no general information mailings to Title I districts, while others reported as many as 30, the number of conferences held to provide assistance ranged from 0 to 500; and the number of individual visits to Title I districts ranged from 0 to over 1,000. The enormous diversity was attributed to two factors: (1) a lack of clarity in the Federal legal framework about precisely what States are supposed to do, with many States confused about their exact responsibilities and authorities in the areas of rulemaking, disseminating information, providing technical assistance, and monitoring and enforcing compliance, and (2) substantial variations among States in the number of staff they have available to administer the program and in the size of the workload.

The NIE study noted the importance of State staffing, finding that those States identified as having administrations of poor quality had lower staffing levels than would be expected given the size of their set-asides, the proportion of the population that was urban, the number of Title I districts, and their organizational characteristics. A study of selected cases showed that: (1) the greater the efforts a State made to clarify, record, and disseminate regulations, the less likely its districts were to experience compliance problems, and (2) the degree of personal interaction and amount of time spent between State Title I officials and local district personnel appeared to be strongly related to the general quality of local district administration.

Given these findings, the 1978 Amendments to Title I of the Elementary and Secondary Education Act of 1965 were written by the Congress to provide greater clarity in the law, and the set-aside for State administration was increased. A study is underway currently to describe the effects of these changes on State practices and to identify particularly effective State procedures, documents, checklists, etc.

9. The effects of Title I participation on student performance in the basic skills

The preceding parts of this section on "Program Progress and Effectiveness" have described the process of providing services funded by Title I to meet students' special educational needs. Emphasized throughout have been indicators of the degree to which actual practices meet the intent of the law in terms of the students being served, the nature of the services, the persons involved in assessing the appropriateness of the services, etc. The effects of various legislative and regulatory provisions on how local administrators conduct Title I projects are important, but of more obvious importance to members of Congress, program administrators, educators, and parents nationwide is the ultimate question of whether or not all this effort helps the students.

Evidence about the effectiveness of Title I services comes from two sources: general descriptive reports from States based on local evaluation data and focused Federal studies of specific effectiveness issues.

Most recent among the studies have been the Compensatory Reading Study, based on data collected during the 1972-73 school year in a nationally representative sample of schools (Trismen, et al., 1975) and the 1976-77 Study of Instructional Dimensions in sites selected to illustrate a variety of instructional approaches (NIE, 1977). Both concluded that Title I services are leading to student improvement (in reading, and math) which, although modest on the average, provides evidence of the promise of compensatory education.

The former also documented an improvement in Title I students' attitudes about themselves as readers and identified five compensatory projects as unusually effective based on both the reading improvement of their students during the school year and the independent judgment of trained observers. The study isolated factors about these five projects which differentiated them from other less successful ones:

- -- All had defined reading as an important instructional goal, had assigned it priority among the school's activities, and had manifested this commitment by expending more time on reading or on having a better quality of reading resources.
- -- In all five there was a key person who provided guidance and direction in reading.
- -- There was careful attention to basic skills (including reading).
- -- There was evidence of interchange of ideas among staff members.
- -- The average cost of the five unusually successful projects was about the same as that of the average of all the other projects.

The NIE study was designed to focus on different instructional strategies rather than evaluate Title I. Specific contrasts investigated were "pull-out" versus "mainstream" instruction and different combinations of content and intensity of instruction. As might be expected, students of different ages fared better under different instructional set-ups in different subject areas. Specifically, first-graders made their greatest gains when they received instruction in their regular classrooms; third-graders made their greatest gains in mathematics when they were in pull-out settings separate from their regular classrooms. (However, third graders' gains in reading were the same for pull-out and regular classroom programs.) Students in individualized instructional programs made achievement gains but these gains were no higher than students in less individualized classrooms.

Data from the first year of the Sustaining Effects Study have also shown gains for Title I students in a nationally representative sample of 250 schools in reading in grades 1-3. Student improvement in mathematics is documented in grades 1-6. Investigations do not yield evidence of strong relationships, however, between the size of the improvement and other factors such as amount or type of Title I services (Wang, 1980).

Both the NIE and Compensatory Reading studies focus on student improvement over the course of a schoolyear, but it is also important to investigate the growth over longer periods of time. Later reports from the Sustaining Effects Study will discuss growth over a three-year period for students receiving different types and numbers of years of Title I services as well as the pattern of student performance after Title I services end for them.

One area of debate in Title I has always been student performance changes over the summer. One study suggested that Title I students who did not attend summer school in selected sites showed considerable losses (Pelavin and David, 1977). More recent and better data have shown, however, that on the average losses tend not to occur over the summer for compensatory students (Hoepfner, 1978; Hammond and Frechtling, 1979; Hemenway and Ozenne, 1977; the third study was focused on ESAA students). Additional evidence from one study (Hoepfner, 1979) shows that all students tend to grow somewhat over the summer months in their reading skills but that this growth is much less than that which takes place during the regular school year. However, low achieving students tend to grow at a slower rate over the summer months than do regular achieving students and, as a consequence, in the fall, the two groups tend to be somewhat further apart than they were in the spring. Low achieving students who receive summer school instruction in reading appear not to catch up with their more advantaged peers (Hoepfner, 1979). More information on the nature and effects of summer school will be coming from the Sustaining Effects Study.

Local and State evaluation requirements were discussed above along with the goal of Congress and the Department that data from them be used to provide periodic global descriptions of the program's impacts on student performance in the basic skills. It was also noted that the first State reports incorporating uniform data will be due in 1981 and will describe Fiscal Year 1980 (schoolyear 1979-80) Title I projects.

Nevertheless, a report was due to Congress using such data in February, 1980, so information from reports from States who had voluntarily used the new procedures was used. In those reports, achievement data in reading from 23 States (data on about 14% of the Title I reading students) show a pattern of student improvement over a school year or calendar year exceeding that expected in the absence of Title I services. The Title I students' growth may exceed that expected of them without the program by as much as 1/3-1/2. A similar pattern emerges from the data on Title I students in mathematics (123% of them). Of course, interpretations of the data is done cautiously due to (1) the necessary use of data from different years and sources to construct the Title I/non-Title I comparisons, (2) the State reports having been first attempts for some to try new methods, and (3) the sample having been incomplete. However, it is important to note that a consistent picture emerges from a variety of sources that Title I services can lead to improvements in student performance not expected in the absence of such services.)

Ongoing and Planned Evaluation Studies:

There are six studies underway to describe the operations and effects of Title I. They are:

1. Sustaining Effects Study - Documentation of the characteristics of schools and students in the program, the services received over a 3-year period, and the effects of services. An interim report will be available by the end of 1980 presenting highlights of the findings in all areas except 3-year student growth. The final report will be available in early 1982.

2. Comparability Study - Mandated by Section 102 of the Education Amendments of 1978, the study will document resource allocation changes, burden, and feasibility estimates associated with alternative measures of comparability being tried in 36 districts.

3. Description of State Management Practices - Documentation of State responces to changes in Title I by the Education Amendments of 1978, and identification of especially effective practices.

4. Description of District Practices Since 1978 - Documentation of district implementation of Title I, especially in areas changed in 1978 and in services to non-public students and secondary students.

5. Study of Maintenance of Effort - Analysis of problems and solutions with maintenance-of-effort provisions, being done by the Educational Policy Center at Rand.

6. Study of Parent Involvement - Documentation of activities with parents as supported by four Federal education programs: ESEA Title I, Title VII, Follow Through, and ESAA.

There are two studies planned for Title I to provide additional information for the 1983 re-authorization:

1. Study of Operations and Funding Alternatives - Use of existing data to examine the effects of proposals for changing Title I as they are debated during re-authorization.

2. *Examination of Title I Evaluation and Reporting* - Analysis of current and alternative requirements.

Sources of Evaluation Data:

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Title I, ESEA, Migrant Education Program

Legislation:

Sections 141-143 of Title I of the Elementary and Secondary Education Act of 1965, as amended by P.L. 95-561.

Expiration Date:

September 30, 1983

Funding History:

Year:	Authorization:	Appropriation:
1967	$ 40,394,401	$ 9,737,847
1968	41,692,425	41,692,425
1969	45,556,074	45,556,074
1970	51,014,319	51,014,319
1971	57,608,680	51,608,680
1972	64,822,926	64,822,926
1973	72,772,187	72,772,187
1974	78,331,437	78,331,437
1975 1/	189,043,638	189,043,638
1976	130,909,832	130,909,832
1977	145,759,940	145,759,940
1978	173,548,829	173,548,829
1979	209,593,746	209,593,746
1980	252,315,000	245,000,000

Program Goals and Objectives:

Title I of P.L. 89-10, the Elementary and Secondary Education Act of 1965, authorized a national education program for disadvantaged children. In November 1966, Title I of ESEA was amended by P.L. 89-750 to incorporate special provisions for migrant children of migrant agricultural workers. The new program provided for grants to State educational agencies (SEAs) or combinations of SEAs to establish or improve, either directly or through local educational agencies (LEAs), programs and projects designed to meet the special educational needs of migrant children. P.L. 89-750 also provided that grant monies were to be used for interstate coordination of migrant education programs and projects, including the transmittal of pertinent information from children's school records. Section 101 of P.L. 93-380 (the Education Amendments of 1974) further amended Title I to include migrant children of migrant fishermen. The Education Amendments of 1978 (P.L. 95-561) reorganized the Title I legislation; currently section 141-143 pertain to the Migrant Education Program.

1/ Commencing in 1976, the program is advance funded from the prior year appropriation. This resulted in a doubling up of funding in 1975. Funds are shown in year appropriated.

In discussions associated with the preparation of the Education Amendments of 1974, Congress emphasized "that local educational agencies should give priority attention in operating Title I programs to the basic cognitive skills in reading and mathematics, and to related support activities to eliminate physical, emotional or social problems that impede the ability to acquire such skills." 2/ Final regulations (published in the Federal Register on April 3, 1980, 45 FR 22660) for the Migrant Education Program emphasize the same point with the inclusion of the following criteria for the approval of State applications (Section 116d.39(b)): "Projects to be funded...hold reasonable promise of making substantial progress toward meeting the special educational needs of the migratory children to be served, particularly any need for improvement in the basic academic subjects." In addition, Section 116d.59(a) of the regulations states: "An SEA or an operating agency may provide health, nutritional, social, or other supporting services with migrant education funds, but only if these services are necessary to enable eligible migratory children to participate effectively in instructional services."

A list of services to be provided by the Migrant Education Program is contained in Section 116d.51 of the final regulations:

> (1) Academic instruction; (2) Remedial and compensatory instruction; (3) Bilingual and multicultural instruction; (4) Vocational instruction and career education services; (5) Special guidance, counseling, and testing services; (6) Preschool services; (7) Other educational services that are not available to migratory children in adequate quantity or quality; and (8) The acquisition of instructional materials--such as books and other printed or audiovisual materials--and equipment.

An implicit goal of the Migrant Education Program is to serve all eligible migrant students in order that they may benefit from "regular" and supplementary educational and supportive services. In the case of migrant students, identification and recruitment of eligible students requires special efforts. Migratory workers and their children have long been ignored by society. Drawing them into the school system thus becomes a special activity in itself.

Program Operations:

The Title I program for migrant children is a State-operated program which typically involves financial assistance to local educational

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2/ See pp. 20-21 of House Report No. 93-805. Both House and Senate discussions (see Senate Report No. 93-763, pp. 30-31) recognized that such an assertion was not intended to preempt the prerogatives of local authorities to give priority to other areas (e.g., teacher training), if such emphases were required to better meet the needs of disadvantaged children.

agencies as subgrantees. Administrative responsibilities are shared by the U.S. Department of Education, State educational agencies, and local educational agencies and other public and non-profit private organizations which operate migrant education projects. Funding of local Title I migrant education pojects is administered by ED through State educational agencies. The formula for computing the maximum grant a State may receive is based on the number of full-time (that is, formerly migratory and currently migratory intrastate students) or full-time equivalent (that is, currently migratory interstate students) school-aged (5-17 years) migrant children residing in the State over a 12 month period. Beginning in FY 1975, State allocations have been based on migrant student counts contained in the Migrant Student Record Transfer System, a computer system housed in Little Rock, Arkansas under contract to the State education agency. Changes made in the law by the Education Amendments of 1978 (P.L. 95-561), as reflected in final regulations, include: (1) providing a mechanism for adjusting the count of eligible migrant childen in each State during the summer months in order to reflect the special needs of migrant children for summer projects and the additional costs of operating these projects (Section 116d.20(b); and (2) authorizing the Secretary to reserve at least $6 million (and not more than 5% of the total national appropriation) for coordination of migrant education activities across States (Section 116d.24).

The SEA is directly responsible for the administration and operation of the State's Title I migrant education program. The SEA approves or disapproves project proposals, and is responsible for the design and preparation of State evaluation reports. Annually, each SEA also submits a comprehensive plan and cost estimate for its statewide program to ED for approval. Section 116d.12(b) of the final regulations requires that this plan contain information on: the strategy for identifying and recruiting all eligible migratory children in the State; the estimated number of children in the State and the number of these children to be served; the educational needs of the children; the objectives for the program evaluation, how the measurement will be conducted, and how the results will be reported; the types of instructional services to be provided; the participation of parent advisory councils and parental involvement strategies; the efforts for assuring interstate and intrastate coordination (including full use of the Migrant Student Record Transfer System); the State's monitoring and enforcement plan; the use of Title I administrative funds; and the inservice training of staff members and the training of parent advisory council members. Each State application also contains an appropriate budget. Section 116d.14 of the regulations states that the Secretary approves a State plan for migrant education only if it is designed to meet the special educational needs of migrant children and holds reasonable promise of making substantial progress toward meeting those needs.

If the State's application is approved, it is awarded a grant, entirely separate from its regular Title I application, to finance the migrant education program. Two or more SEAs are permitted to submit an application for a joint program or project to be administered under an appropriate interagency agreement.

An important component of the national program is the Migrant Student Record Transfer System (MSRTS). This computerized data system receives, stores, and transmits educational and health information on children participating in Title I migrant education projects in each of the 48 continental States and Puerto Rico. Schools are responsible for submitting, to the local terminal operator, health-related, educational experience, and status information on the migrant children they serve. When children move to new locations, this information can then be retrieved by their new teachers and by school health officals.

In meeting the need for continuity of educational services, State Migrant Education Coordinators and ED have developed a Coordinated Skills Information System (SIS) consisting of reading and math skills. These are being added to the MSRTS files so that as students move from one school to another their records will indicate which reading and math skills they have mastered. The plan is to help teachers design an appropriate educational program for each child. The MSRTS has also been used to meet the needs of secondary school migrant students who are often unable to graduate from high school because their mobility prevents them from meeting minimum attendance requirements necessary to receive high school course credit. The Washington State Migrant Education Program in cooperation with the Texas Migrant Education Program developed a program known as the Washington-Texas Secondary Credit Exchange Project, a combination of night school and coordination with the student's home-base schools to insure proper crediting of course work. This project has been approved for wide-scale dissemination by ED.

Program Scope:

The Migrant Education Program is a growing program within Title I. It seeks to improve educational opportunities for a target population facing problems which are probably more severe than for any other group. Not only are migrant students typically educationally and economically disadvantaged in comparison to the rest of American society, but, in addition, active migrant students by definition miss the systematically sequenced and sustained educational programs available to most non-migrant children.

The following list indicates the number of full-time equivalent students enrolled on the MSRTS since 1973. These counts serve as the basis for program funding, e.g., the 1978 FTE figure was used to determine FY 1980 funding. One full-time equivalent equals 365 days of enrollment on the MSRTS.

Calender Year	Full-time Equivalent Students (ages 5-17)
1973	212,473
1974	207,474
1975	267,791
1976	296,428
1977	323,504
1978	346,205
1979	369,082

A count of the actual number of students identified as eligible for program services and enrolled on the MSRTS is provided below. Increases in the number of identified migrant children (actual counts and FTE counts) represent intensified and refined identification and recruitment efforts rather than substantial increases in migratory labor. It is expected that the total number of identified children will level off as recruitment efforts reach completion.

Calendar Year	Number of Eligible Students
1976	458,241
1977	467,796
1978	494,417
1979	522,154

The number of migrant children enrolled on the MSRTS during calendar year 1979 may also be categorized as follows:

K-12	91.6%
Preschool	8.4%
	100.0%

Interstate Agricultural	36.99%
Interstate Agricultural	22.39%
Formerly Agricultural	38.54%
Interstate Fishing	0.34%
Intrastate Fishing	0.50%
Formerly Fishing	1.24%
	100.0%

The following table indicates the number of children of migratory fishers enrolled on the MSRTS since 1975 when P.L. 93-380 authorized their eligibility for migrant program services.

Student Enrollments

	1975	1976	1977	1978	1979
Interstate Fishers	885	1,770	2,159	2,429	3,102
Intrastate Fishers	526	1,219	1,530	1,950	2,121
Five-Year Fishers	982	2,522	3,094	4,378	5,811
Total	2,393	5,511	6,783	8,757	11,034

Information from the Migrant Student Record Transfer System indicates that in calendar year 1979, 522,154 students (infants through 21 years of age) in 16,000 schools were served in the Migrant Education Program. Approximately 184,000 students were formerly migratory. A total of 3,000 migrant education projects were in operation. Forty-seven States and Puerto Rico initiated State migrant education programs during fiscal year 1979.

There were no programs in Hawaii, New Hampshire, Rhode Island or the territories. The size of grants to SEAs ranged from $63 million for Texas, $54 million for California, $17 million for Florida, and $9 million for Washington to $90,000 for Alaska, $37,000 for South Dakota, and $2,300 for the District of Columbia.

Preliminary estimates, derived from teacher judgments, of the race, ethnicity, and English language ability of school-aged migrant children (ages 5-17) enrolled on the Migrant Student Record Transfer System in 1977 are as follows. These estimates are based on a 94% response rate for a sample of 9,048 migrant students ages 5-17.

Race or Ethnicity

American Indian or Alaska Native		Less than 1%
Asians or Pacific Islander		Less than 1%
Black, not of Hispanic Origin		13%
Hispanic		69%
Mexico American	64%	
Puerto Rican	4%	
Other Hispanic	1%	
White, not of Hispanic Origin		16%
Unknown		Less than 1%

Home Language

English Only	30%
Spanish	67%
American Indian Language	Less than 1%
Other Language	Less than 1%

Oral English Language Fluency

o Lack of Fluency Interferes with School Work		27%
oo Does not speak or understand English.	2%	
oo Understands some fundamental English. Speaks English only a little if at all.	10%	
oo Speaks and understands fundamental English sufficiently to participate in elementary conversation. Lack of fluency interferes with his/her classroom work.	15%	

o English Fluency Poses Minor or no Problems for School Work		71%
oo Speaks broken but easily understandable English. Undestands most of what is said to him/her in English. Lack of fluency interferes little if at all with his/her classroom work.	15%	
oo Has reasonable command of the English language for one of his or her age, whether or not he or she speaks with a foreigh or regional accent.	56%	
o Unknown		2%

Program Effectiveness and Progress:

Information from a recently completed study (Clayton, et al., 1980) of the student counts used to allocate funds for the Migrant Education Program indicated the following:

- o MSRTS counts of migrant students provide an adequate and equitable source of data for use in the allocation of funds.
- o Overall, the 1977 FTE counts (both for the nation as a whole, and for the geographic regions defined for the study) seemed to represent a conservative estimate of the total number of migrant children.

A GAO study (Sept. 16, 1975) of the use of the Migrant Student Record Transfer System as a means of estimating the number of full-time equivalent migrant children residing in each State concluded that MSRTS data were superior to Department of Labor data for determining migrant education program allocations. However, GAO did not assess the accuracy and completeness of the MSRTS data.

A recently completed validation (Clayton, et al., 1980) of the MSRTS counts, based on a sample of approximately 9,000 children who had enrollments on the MSRTS that contributed to the student counts for 1977, indicated a 12% undercount of FTEs accrued by migrant children enrolled on the MSRTS. This undercount held fairly uniformly across the five geographic regions defined for the study. The major reason for the undercount appeared to be a failure of the enrollment data submitted to the MSRTS to achieve the same degree of completeness as data collected for the study. In addition, roughly 15 to 20 percent of the eligible migrant children enrolled in school in early 1978 were not enrolled on the MSRTS in 1977 and therefore did not accure any FTE credit during 1977. Survey responses of school officials indicated their belief that the out-of-school population of eligible migrant studens in 1977 was likely to have been small, and therefore the potential contribution of out-of-school migrants to the overall undercount was likely to have been minimal. Errors made in the entry of birthdates had little effect on the FTE counts. About 2% of the 1977 FTEs were generated by ineligible children; as a lower limit, another 2% of the 1977 FTEs were generated by eligible migrant children while they were out of the country. The proportional distribution of survey FTEs among the regions defined for the study was not significantly different from the proportional distribution for the same regions derived from MSRTS data, indicating that the distribution of funds to States on the basis of 1977 MSRTS FTEs was equitable.

A 1978 internal audit of the administration of the Migrant Education Program resulted in a number of recommendations pertaining to: (1) the application process (including the use of specific criteria for assessing the quality of State applications the use of non-Federal readers, conduct of pre-grant site reviews, fixing application receipt and response dates, and employing sanctions to assure compliance with the terms and conditions of grant awards); (2) the allocation of program funds (including use of the by-pass mechanism and procedures for reallocating excess funds); (3) increasing parental involvement; (4) improving intrastate and interstate coordination; (5) re-ordering the priority given to preschool currently migratory children; and (6) raising the organizational structure of the Migrant Education Program from a branch to a division. Many of the recommendations have been incorporaed into the final regulations (45 FR 22660).

The growth of the Migrant Education Program from 121 projects in 1967 serving approximately 43,000 students to 3,000 projects in 1979 serving approximately 522,000 students suggests that the target population is being identified and served.

Ongoing and Planned Projects:

The ongoing ED study of the ESEA Title I Migrant Education Program is designed to meet a number of objectives. With respect to the comprehensiveness of program services, a study of representative samples of migrant education projects and identified migrant students will provide information on the nature of the educational and support services offered by funded school districts, an assessment of the extent to which students receive services as they move from school district to school district, and a description of the characteristics of participants. In the area of program impact and effectiveness, a large-scale testing effort of some 6,000 migrant students will provide information on the basic skill attainment of second-, fourth-, and sixth-grade participants. The third objective, focusing on a validation of the counts of migrant students used in the allocation of funds to the States, has been completed. Lastly, a set of evaluation procedures for States and local educational agencies to use in evaluating migrant education program activities is under development. Data collection for the study began in January 1978 and was completed in the Spring of 1979. Data analysis and report writing will be completed by February 1981. Results of this evaluation of the Migrant Education Program will be reported in future annual evaluation reports as they become available.

Sources of Evaluation Data:

Current:

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Evaluation of the Migrant Student Record Transfer System (MWD-76-21). Washington, D.C.: General Accounting Office, September 1975.

Grants to State Educational Agencies to Meet the Special Educational Needs of Migratory Children: Rules and Regulations (Final). 45 Federal Register 22660 (April 3, 1980).

Validation of Student Counts Used to Allocate Funds for the ESEA Title I Migrant Education Program. Research Triangle Park, North Carolina; Research Triangle Institute, October 1980.

Other:

Hill, S.T., and R.N. Jessee. Migrant Program Statistics: 1972-73 Regular and 1973 Summer School terms (NCES 77-156). Washington, D.C.: National Center for Education Statistics, U.S. Department of Health, Education and Welfare, 1977.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Title I Program for Institutionalized Neglected or Delinquent Children

Legislation:	Expiration Date:
Title I of the Elementary and Secondary Education Act of 1965, as amended by P.L. 95-561.	September 1983

Funding History:	Year:	Authorization:	Appropriation: 1/
	1969	13,946,100	13,946,100
	1970	15,962,850	16,006,487
	1971	18,194,106	18,194,106
	1972	20,212,666	20,212,666
	1973 2/	27,545,379	27,545,379
	1974	25,448,869	25,448,869
	1975	26,820,749	26,820,749
	1976	27,459,444	27,459,444
	1977	28,841,151	28,841,151
	1978	29,821,338	29,821,338
	1979	31,807,484	31,807,484
	1980	32,391,655	32,391,655
	1981	36,750,000	36,750,000

Program Goals and Objectives:

Title I of the Elementary and Secondary Education Act of 1965 has two major parts: A and B. Part A provides for grants to local school districts (and is described in a separate chapter in this report); Part B has three subparts providing grants to State agencies for (1) programs for migratory children, (2) programs for handicapped children, and (3) programs for neglected and delinquent children. This chapter describes the operations and effects of the program authorized by the third subpart.

As a subprogram of Title I, it shares the overall program's goals as stated in P.L. 89-10; that is, to

> "improve educational programs by various means (including preschool programs) which contribute particularly to meeting the special educational needs of educationally deprived children." (Section 101 of P.L. 89-10.)

1/ Section 193 of ESEA, Title I requires that grants for the Part B State-operated program for the neglected or delinquent (as well as those for State programs for the handicapped and for migrant children) be awarded as authorized. This is referred to as "off-the-top funding" or being "fully funded," in contrast to LEA grants that are reduced as necessitated by appropriations.

2/ Beginning in 1973, unlike the previous years, funds were authorized and appropriated to serve children in adult correctional institutions. About $6.8 million of the $7.3 million overall increase between 1972 and 1973 is attributable to the addition of that population.

The amendments in P.L. 89-750 passed on November 3, 1966, which added institutionalized neglected or delinquent youth (as well as children of migratory agricultural workers and Indian children in B.I.A. schools) to those eligible under P.L. 89-10, stated goals for these programs. Section 152 of Title I states that projects supported by these Part B grants for the neglected or delinquent must be "designed to support educational services supplemental to the basic education of such children which must be provided by the State ..."

Program Operations:

The Title I program for children in institutions for neglected or delinquent youth or in adult corrections facilities is authorized by Sections 151-153 of Title I. Section 151 describes the computation of grants; Section 152, the requirements on such grantees; and Section 153, a new provision for services to students released from these institutions to provide special educational services to them in their regular local schools. Each of these topics is discussed below.

State agencies eligible for these Part B grants are those "directly responsible for providing free public education for children in institutions for neglected or delinquent children or in adult correctional institutions" (Section 151 (a) of ESEA Title I). Such agencies are units called typically "Department of Youth Services," "Department of Corrections," "Department of Offender Rehabilitation," "Youth Commission," etc. Each State can have as many as three or four of these, and they are the direct Title I grantees, supervised as other Title I grantees, by the State educational agency (SEA) as described in Part C of Title I, "State Administration of Programs and Projects."

The size of each agency's grant is, according to Section 151 of Title I, equal to the average daily attendance of children receiving free public education in the agency's schools multiplied by 40% of the State's average per pupil expenditure (or no less than 80% of the U.S. average per pupil expenditure and no more than 120% of the U.S. average). (Further, Section 157 states that for Fiscal Years 79-83 no State agency shall receive less than 85% of what it received the previous year.)

Section 152 of the law contains the requirements for Title I programs in the State. As noted above, the Section says that the projects must "support educational services supplemental to the education" provided by the State. Also incorporated by reference are the requirements defined for the Part A local school district grantees such as having the project application approved by the State education agency (Section 121); designing and implementing a program of of sufficient size, scope, and quality based on a needs assessment, coordinated coordinated with other programs, evaluated, with teacher, parent, and local administrators' participation, etc., (Section 124); adhering to the Title I fiscal requirements of maintenance of effort, excess costs, and supplement-not-supplant (Section 126 except paragraphs (d) and (e)); being accountable by keeping records and reporting (Section 127); providing for the resolution of complaints from parents, teachers, or other concerned individuals (Section 128); and whenever feasible, using individualized educational plans for students served by Title I (Section 129). (The only requirements of local Part A grantees which are waived by law for the Part B State agency grantees are Section 122 designating attendance areas, Section 123 requiring selection of the neediest students for services, Section 125 establishing Parent Advisory Councils, two two paragraphs of Section 126 as noted above, and Section 130 about services to nonpublic school students.)

A study of State institutions receiving Title I funds in 1977 documented the numbers of children served, the nature of those services, the management of the program at the institution and State levels, and the flow of funds among the administrative levels. The study involved visits to 100 randomly selected institutions and interviews with students, teachers, and administrators in those sites. Interviews were also conducted with Title I administrators responsible for the N or D program in all States (as well as in Puerto Rico and the District of Columbia) including those in both the State Education Agency (SEA) and in the State Applicant Agency (SAA; e.g., the Department of Corrections, Youth Authority, etc.).

The flow of funds to Part B grantees were documented from these interviews and records. Funds available at the State level for education in institutions for neglected youth, delinquents, or adult offenders average about $2.1 million per State, ranging from about $17,000 to over $10 million. On the average, approximately 68% of these funds are from the State, 20% from ESEA Title I, and 12% from other federal sources. The average Title I grant is about $500,000 with a range of $24,000 to over $2.2 million. State funds average about $2 million, providing a typical per-pupil expenditure from all sources just slightly less than that found in public schools (System Development Corporation, 1977).

In the facilities, the funds are spent primarily on staff and materials. Nearly 75% of the Title I funds, on the average, support staff; this compares with 81% of the State funds being so used, and 40% of the funds from other Federal programs. In the case of Title I, nearly all those staff (over 80% on the average) are classroom personnel -- teachers and paid aides; about 3% are administrators, about 6% counselors, and about 11% other types of support personnel. (This is in marked contrast with the expenditure pattern for staff from State funds and other Federal funds: in the case of the former, only about former, only about 41%, on the average, supports classroom personnel, 12% for administrators, and 37% for other support). This seems to confirm interviewees' reports in the national study that the emphasis in Title I is on instruction (System Development Corporation, 1977).

On the average the Title I per-pupil expenditure in the institutions is $456, but the figures range from less than $100 to almost $1,700. For over 65% of the institutions, $500 or less was the Title I per pupil expenditure. Inclusion of funds from all sources raises the average per-pupil costs for Title I students to about $1,350 (again, however, with a large range). The comparable figure for that same year in public schools was an average per-pupil expenditure of $1,550. (Most of the difference between the two figures is attributable to an extremely low per-pupil expenditure in institutions for adults.)

Program Scope:

Almost 27,000 children were receiving Title I services in State institutions in fall, 1976. Of these, 2,550 were in institutions for the neglected, 16,730 in those for delinquent youth, and a little over 7,560 in those for adults. This compares to an estimate of just over 51,000 as eligible to participate in the program nationwide. Eligible students are those who are younger than 21, lack a high school diploma, participate in a regular program, and are low-achievers.

The numbers of children being served are shown in Figure 1 below. Also illustrated there are estimates of eligible children not being served by Title I. About 72% of the eligible neglected children in these institutions are being served by Title I, about 65% of the eligible delinquents, about 34% of the youth in facilities for adults.

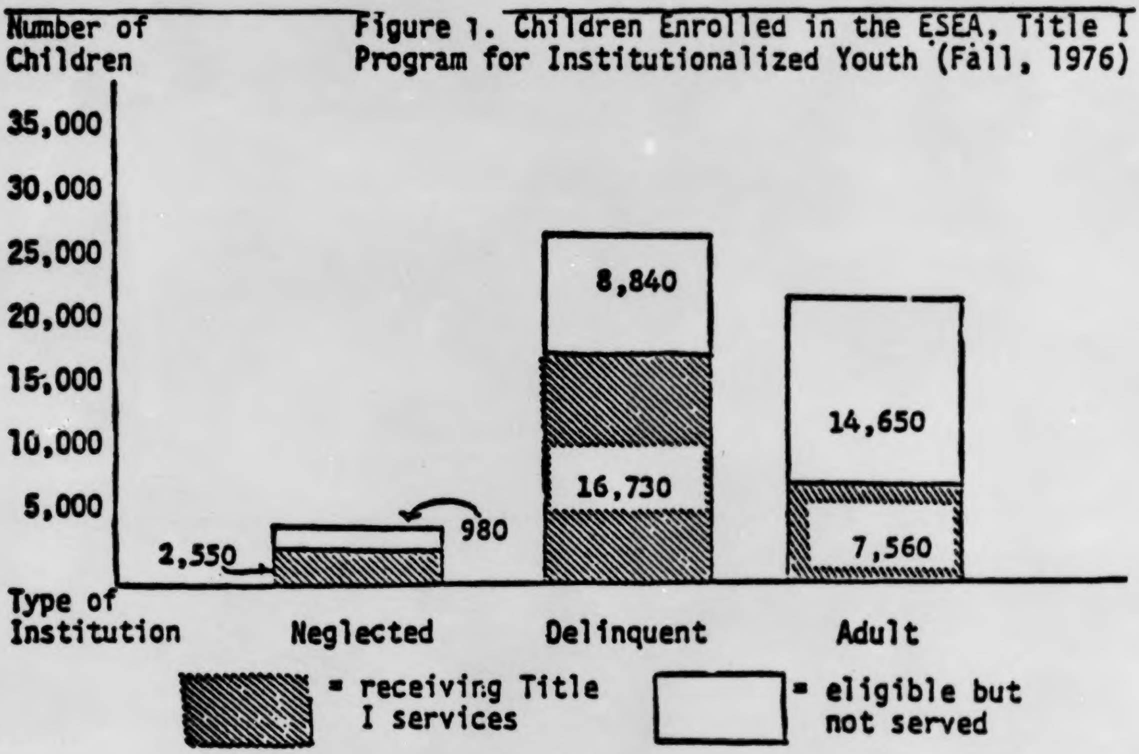
Figure 1. Children Enrolled in the ESEA, Title I Program for Institutionalized Youth (Fall, 1976)

In 20% of the institutions with Title I projects, those projects are able to serve all the eligible students; 55% of the institutions can serve half or more of the eligible students. Most of the sites who cannot serve at least half the eligible student population are institutions for adults. (Over 60% of them report this problem.)

An amendment introduced by Representative Simon of Illinois to the Higher Education Act of 1980 requests information as available on the effects of Federal education programs on students of different race, sex, and language groupings. Data are available from the national study on the sex, age, and race of participants in this program in Fiscal Year 1977. (There is no reason to expect the proportions to have changed since then.)

The figures are shown below:

Characteristics of Title I Students

	Institutions for					
Characteristics	Neglected		Delinquent		Adult	
Age	#	(%)	#	(%)	#	(%)
13 or less	459	(18)	2,008	(12)	0	(0)
14-15	1,071	(42)	6,023	(36)	0	(0)
16-17	995	(39)	6,692	(40)	1,058	(14)
18-20	26	(1)	2,008	(12)	6,048	(80)
21 or more	0	(0)	0	(0)	454	(6)
Ethnicity						
Native American	153	(6)	335	(2)	76	(1)
Asian	26	(1)	167	(1)	0	(0)
Black	791	(31)	5,856	(35)	4,082	(54)
White	1,377	(54)	7,696	(46)	2,873	(38)
Hispanic	179	(7)	2,844	(17)	529	(7)
Sex						
Female	1,122	(44)	1,673	(10)	605	(8)
Male	1,428	(56)	15,057	(90)	6,955	(92)

The children participating in Title I greatly resemble those in the institutions as a whole, except, as would be expected, they are younger. With regard to sex, race, and commitment status, they are not significantly different from the general resident population. Also, their average length of stay is similar to that of the other residents: about 80% of the students in facilities for the neglected are there for 6 months or more; close to 60% of the youth in facilities for delinquents or adults are in the program 6 months or longer. The Title I students do exhibit more educational problems, however: the institutional students scored about the same on standardized tests as fifth graders in public schools; Title I students, about the same as fourth graders.

The nature of Title I varies considerably from site to site according to how education, itself, is organized in the facilities. In some cases, the facility may have the appearance of a junior college campus with security concerns only slightly in evidence. In such a case, residents might be expected to live in small (10-15 person) cottages and to move freely to other buildings, such as those for classes. On the other hand, a facility with an obvious, over-riding orientation toward security concerns might consist merely of a large fenced-in building with two classrooms, perhaps a shop and library, in one wing. Occasionally classes might be held in multi-purpose rooms serving as dining halls or gymnasiums.

Education and the attention it receives from staff and students vary as much across institutions as do physical facilities. In some cases, education must, according to State law, be comparable to that of public schools. Residents must attend classes, and their progress is sometimes rewarded by access to better living areas (those with color television, for example) and to special privileges. In such a case, the residents' school day may look considerably like that in regular schools. A contrast would be institutions in which only a small percentage of the inmates are in education activities, or those (18% of the cases) in which educational activities are not accredited by the State (System Development Corporation, 1977b).

Hence, education in the institutions varies considerably, and consequently, so does Title I. Participation in a Title I project can be described in terms of the needs assessment, selection processes, and the actual delivery of services. Diagnostic testing (either at the institution itself or in a State facility maintained especially for that purpose) is used most frequently to assess residents' needs and to select them for participation in Title I. This testing almost always assesses academic achievement, and may be supplemented by tests for special learning problems (in half the cases) or by inventories measuring IQ, attitudinal, or personality traits (in one-third of the cases).

As required by the law, and substantiated through interviews with administrators, Title I services are offered as a supplement to those provided by the State. When documenting student receipt of services in reading and math from all sources, however, it was found that Title I students actually receive fewer hours of instruction in these two areas than do non-Title I students. This is due to both institutional and individual reasons: (1) institutions often view their Title I classes more as electives or extras and cancel them more often (for field trips or whatever) than they cancel non-Title I classes and (2) Title I students schedule other activities such as visits to the nurse or meetings with their lawyers at the time they're supposed to be in Title I, or they have a worse attendance record due to sickness or being in lock-up. This amounts to Title I students, on the average, receiving as much as an hour less of reading instruction each week than non-Title I students. On the average, Title I students, were receiving about 70% of what was being offered. This problem--of Title I often not being completely implemented as designed--was pursued further in an in-depth study in nine institutions and will receive special attention as Federal policy-makers formulate steps to improve the program.

Instructional staff in Title I projects were also described in the study. They tend to be better educated than other teachers in the institutional settings: that is, whereas almost all the Title I teachers have earned at least a bachelor's degree, this is less common among the non-Title I teachers (of whom a little over 10% have no college degree). Also, nearly 2/5 of all Title I teachers have done graduate work. Their teaching experience is comparable to that of other teachers in institutions: about 3-4 years in both correctional and non-correctional settings.

Many educators in these institutions have noted the problems of students returning to local public schools after release from a corrections facility. A study by the General Accounting Office in 1977 confirmed these reports, especially for the older students. As part of the national evaluation, the status of over 600 students was documented between 3 and 6 months after their release from an institution. It was learned that 3/4 of them had returned to their parents' homes, 1/2 to school. Of those returning to school, however, 80% had dropped out by the time of the contact, citing their poor performance level, the public school's more rigid scheduling, and their problems associated with arriving at mid-term.

In 1978, Congress added Section 153 to Title I authorizing grants to State and local educational agencies to "facilitate the transition of children from State-operated institutions for neglected or delinquent children into locally operated programs." Up to 5% of the funds authorized for the Part B programs in these State institutions is authorized for these Section 153 grants. No funds have yet been appropriated for this provision, but $1,000,000 is requested in the Administration's 1981 budget to support grants for schoolyear 1981-82.

Program Effectiveness and Progress:

The addition of this program to Title I in 1966 represented the first Federal effort to improve the educational experiences of children in institutions for neglected or delinquent. The impacts of such an effort are varied, of course. Teachers and educational administrators note a positive change in many facilities in that education programs gained importance and legitimacy. They also describe improvements attributed to the establishment, through the advent of a national educational program, of an informal network of educators with problems and concerns in common.

It is important, of course, to examine the effects of the instructional services on students' skills. Data collected in the schoolyear 77-78 in 40 sites included test scores on specially constructed, focused instruments in reading and mathematics (used four times at six week intervals), a nationally standardized norm-referenced test (given once), and measures of self-concept (administered twice). About 1500-1700 students -- Title I and non-Title I -- were tested each time and highlights of this evaluation were as follows:

- There was not much change over the repeated testings in either reading or math: Title I students usually got about 60% of the items correct while the non-Title I students scored higher, on the average, getting about 75% of the items correct. It is important to emphasize that because the two groups differ, a strict comparison in their improvement over time in order to assess Title I is not appropriate. Rather, one must adjust, as possible, for their differences at the beginning and still interpret the results (comparing adjusted scores) with caution. Even given such adjustments, the Title I services did not appear to improve student improvement over and above that expected due merely to a regular institutional education program. (One must also recall from the previous pages that in many cases Title I scheduling problems for the institutions or students themselves prevented their receiving as much instruction in the basic skills as their nonTitle I peers; hence, a finding of no extra growth makes some sense.)

- On the nationally standardized test, Title I students (most of whom are 14-16 years old) scored, on the average, at about the same level as average fourth graders (modal age of nine years old) in public schools; non-Title I students also performed well-below their age level, scoring about the same as average fifth-graders. (System Development Corporation, 1979.)

It is important to note that these are overall, national summary statements. There are some sites in the study whose students showed a different pattern than the one described above. Those sites were included in an in-depth study to define what might be the most effective educational strategies in these settings. The findings suggest that student growth is improved in sites which:

- emphasize educational scheduling;
- have teachers performing fewer maintenance duties during class time such as ushering students to the next class, tracking down the whereabouts of those who fail to show up, and accounting for supplies;
- use audio-visual materials to enhance or supplement the class lessons rather than to merely keep the students occupied.

Details of the findings are being reviewed for applicability to Federal policy regarding the programs in these sites. Also under review are ideas developed for institutions to use in their required evaluations. A few sites are being recruited to voluntarily test some of the ideas during Fiscal Year 1981.

Ongoing and Planned Evaluation Studies:

No additional studies are planned at least until after the 1983 reauthorization.

Sources of Evaluation Data:

Federal Register, "Grants to State Agencies for Programs to Meet the Special Educational Needs of Children in Institutions for Neglected Children," Volume 43, Number 65, Tuesday, April 4, 1978, pp. 14292-14296.

General Accounting Office, "Re-evaluation Needed of Educational Assistance for Institutionalized Neglected Children," Report to Congress by the Comptroller General of the United States, December 19, 1977.

National Center for Education Statistics, "The Condition of Education, 1977 Edition," Volume 3, Part I, 1977.

System Development Corporation, "National Evaluation of Title I Progress for Neglected or Delinquent Youth in State Institutions," Interim Reports for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, California, 1977.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

National Diffusion Program

Legislation:	Expiration Date:
Title III of the Elementary and Secondary Act of 1965, as amended by P.L. 95-561, Section 303 and the General Education Provisions Act, Section 422(a).	June 30, 1983

Funding History:	Year:	Authorization:	Appropriation:
	1975	1/	$ 1,400,000
	1976	1/	1,400,000
	1977	2/	10,000,000
	1978	2/	10,000,000
	1979	3/	14,000,000
	1980	3/	10,000,000
	1981	3/	16,000,000

Program Goals and Objectives:

The general purpose of Title III - Special Projects is to carry out special projects: (1) to experiment with new educational and administrative methods, techniques, and practices; (2) to meet special or unique education needs or problems; (3) to place special emphasis on national education priorities; and (4) to disseminate information to State and local education agencies. To fulfill this purpose, the Secretary is authorized to make grants and contracts with public and private agencies, organizations, associations, institutions, and with individuals.

1/ This program was formerly called the Packaging and Field Testing Program. In 1975 it was under the authority of the Cooperative Research Act, P.L. 531, 83rd Congress. In 1976 it was under the authority of the Special Projects Act of P.L. 93-380 without a separate authorization.

2/ The National Diffusion Network, established in 1974 under the authority of ESEA, Title III, was added to the Packaging and Dissemination Program in 1977. In 1977 and 1978, this program was under the authority of the Special Projects Act, P.L. 93-380, and the General Education Provisions Act, Section 422(a), with no separate authorization level.

3/ In 1979, this program was renamed the National Diffusion Program. It is currently under the authority of Title III of P.L. 95-561, Section 303 and the General Education Provisions Act, Section 422(a) with no separate authorization level.

This program is also under the authority of the General Education Provisions Act, Section 422(a). One purpose of Section 442(a) of the General Education Provisions Act fulfilled by this program is: to prepare and disseminate to States and school districts information concerning education programs. To carry out this and other purposes of the Act, the Secretary is authorized to make contracts with State and local education agencies and institutions, and to the general public.

A variety of activities are authorized by Title III - Special Projects; some are legislatively mandated programs, and some are discretionary projects which may be established by the Secretary under Section 303. The National Diffusion Program falls into the second category. Its purpose is to improve the quality of education by promoting the widespread dissemination and use of exemplary education practices and projects which have been certified as effective by the Education Department's Joint Dissemination Review Panel (JDRP), a panel that reviews individual claims of effectiveness of educational materials, practices, and projects prior to endorsement for nationwide dissemination.

The major objectives of the program are:

(1) to disseminate exemplary (i.e., JDRP approved) educational practices and projects to interested school districts and to assist education agencies in implementing the exemplary practices through the provision of materials, personnel training, and other supportive services;

(2) to study alternative dissemination procedures and techniques in order to improve the way in which school districts learn about and implement exemplary projects; and

(3) to provide training and assistance in dissemination skills to funded project disseminators to enable them to encourage and assist interested school districts in the selection and implementation of an appropriate exemplary practice or project.

Program Operations:

Three complementary activities are funded by the program to accomplish its major objectives and to contribute to the goal of encouraging the dissemination and implementation of exemplary practices: dissemination activities; technical assistance for funded dissemination agents; and evaluations and studies of the dissemination, project implementation, and the school improvement process.

The dissemination component of the program has two purposes: to make educators aware of exemplary projects, and to provide personal assistance in the selection and implementation of such projects in new communities. These purposes are accomplished primarily through the National Diffusion Network (NDN), a national delivery system designed to assist in the spread of exemplary projects. Through competitive procurement procedures, the NDN funds local developers (called Developer-Demonstrators) to provide materials, training and assistance to school districts that want to adopt their projects. Individuals (called State Facilitators) are also funded as dissemination agents to make school districts in their States aware of alternative exemplary approaches and to help interested districts identify and obtain assistance from project developers in implementing a project to meet specific local needs. The NDN disseminates a large portion of those projects approved by the Joint Dissemination Review Panel.

In addition to funding Developer-Demonstrator (DD) and State Facilitator (SF) projects, the NDN assists DDs and SFs in acquiring skills and developing materials to better enable them to engage in dissemination activities. Through competitive procurement procedures, a contract has been awarded to produce materials (e.g., catalogs of exemplary projects, filmstrips and handbooks) and to provide training and assistance to those individuals managing and conducting dissemination activities.

The third type of activity supported with Program funds are dissemination related evaluation and studies. Through competitive procurement procedures contracts are awarded for studies that examine various activities and aspects of the dissemination, project implementation, and school improvement processes to learn from, improve upon, and provide alternatives to current Program strategies.

Program Scope:

Appropriations for this Program have ranged from $1.4 million in FY 1975 when the Program began as the Packaging and Field Testing Program, to $10 million in 1977 when the NDN became part of the Program, to $16 million in 1981. The FY 80 funds were used for the following activities.

In FY 1980 approximately 114 exemplary project developers were funded. Facilitator projects were continued in 49 States (including the District of Columbia, and the Virgin Islands.) One technical assistance contract was awarded to provide materials, training and support services to NDN participants (i.e., Facilitator and Developer projects). "An Assessment of NDN's Technical Assistance Activities" was complete and results were used to initiate a new technical assistance contract. An "Evaluation of Project Information Packages as Used for the Diffusion of Bilingual Projects" was also completed. One study initiated in FY 1978 was continued: "A Study of How School Districts Use Evaluation for School Improvement". Two additional efforts were initiated in FY 1980: "Design and Implementation of a Technical Assistance System for the NDN"; and "Design of a System for Assessing Project Implementation".

Program Effectiveness and Progress:

Earlier studies as well as recent evidence indicate that the National Diffusion Program has been successful in causing many school districts to attempt implementation of exemplary education practices and that there is substantial educator interest in the types of services being provided by the Program. The demand for NDN services continues to be great, and over 7,000 local sites are estimated to have initiated implementation of NDN's exemplary projects since its creation in 1974. Many of these are reasonably faithful implementations of the original projects, although some adaptation to local conditions has typically been necessary. While there is little evidence available to indicate such adoptions have resulted in improved student learning in the new communities, there appears to be considerable satisfaction with

FY 80 RESOURCE ALLOCATION

ACTIVITY	AWARDS	OBLIGATION	AVERAGE AWARD
1. National Diffusion Network		$10,000,000	
State Facilitators	53 4/	(4,000,000)	$ 75,000
Developer-Demonstrators	114 5/	(4,000,000)	35,000
2. Technical Assistance Units	1	1,300,000	NA
3. Evaluations and Studies	4	700,000	NA

A total of 135 projects (including those that have been packaged) are being disseminated by the NDN. These projects are distributed among the following categories:

Type of Project	Percent of Projects
Alternative Schools	7
Bilingual/Migrant Education	6
Career/Vocational Eduation	5
Early Childhood/Parent Readiness/Parent Involvement	13
Environmental Education	8
Organizational Arrangements/Training/Administration	5
Reading/Language Arts/Math	37
Special Education/Learning Disabilities	12
Special Interests	7
	100

4/ Forty-nine States served including the Virgin Islands, and District of Columbia.

5/ Twenty-one Follow Through projects are disseminated via NDN but are not funded by this program. Thus, the total number of projects being disseminated via the NDN is 135. Packaged projects (i.e., PIPs) formerly developed under this program are also disseminated via the NDN.

the adopted projects. In addition, the NDN has expanded its operations and has begun to take some new directions. Each of these issues is discussed in greater detail in the following paragraphs.

Spread of Exemplary Projects:

Based upon an earlier evaluation of the NDN (Emrick, 1977), and figures compiled from funded NDN projects it is estimated that over 7,000 school districts are attempting to implement exemplary projects. More than 60,000 educators have received training to implement NDN projects and approximately one and one-half million students have been served by the projects adopted in new sites. In addition, a special effort to disseminate exemplary ESEA Title I projects via the NDN in 1978 yielded over 400 adoptions of the 21 Title I projects, and about 1,000 adoptions of these projects in 1979.

Fidelity of Project Implementation:

The earlier NDN evaluation (Emrick, 1977) reported that projects being implemented via the NDN were reasonably faithful to developer specifications. However, this and more recent evidence (Campeau, 1979) indicates that some amount of adaptation to local circumstances is required during implementation. An implementation study recently completed (Campeau, 1979) suggested that the following steps might be taken to improve the likelihood that adopters will implement key features of the exemplary projects.

- Work toward getting project developers to better define key features of their projects.
- Increase developer resources for training and monitoring at adoption sites.
- Ensure agreement between project characteristics emphasized by implementation materials and those emphasized by dissemination agents.

User Satisfaction:

Results from studies conducted over the last four years (Emrick, 1977, Stearns, 1977, Campeau, 1978) indicate that user satisfaction with the services and materials provided by the NDN and with the projects adopted continue to be high. Developers and Facilitators have illustrated a great deal of evaluation of NDN (Emrick, 1977) and the services they provide to educators. The evaluation of NDN (Emrick, 1977) reported that this enthusiasm seems to transfer to the adopting districts.

Effectiveness:

To date, relatively little information regarding project impact on student achievement is available from adopters of the exemplary projects disseminated via the NDN.6/ For some time NDN participants and program managers have agreed that

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6/ An analysis of the impact of adopted projects on the achievement growth of participating students was conducted in an earlier study (Stearns, 1977) for six packaged projects (i.e., PIPs) in 19 sites. The study found that, in most adopting sites, students' achievement increased somewhat but not in the same magnitude as the gains frequently achieved at the originating site.

agreed that the educational outcomes of projects implemented through the efforts of this Program is an area that needs to be examined. Accordingly, evaluation activities have received increasing emphasis in the NDN. A formative evaluation system is being refined to provide NDN participants with resources and procedures to assess their dissemination and assistance rendering activities. A project implementation evaluation guidebook will be developed to aid NDN participants and adopting sites in assessing project implementation activities. In addition to these activities NDN participants are now beginning to collect data from adopters of NDN programs.

Program Changes:

In FY 1978 and 1979 the NDN began to expand its operations and take some new directions. First, the number and types of projects funded for dissemination were increased. The funding competition has been expanded from elementary and secondary programs to encourage all programs served by ED to submit exemplary projects for inclusion in the NDN. In addition, the competition has been expanded to allow submission of certain programs developed by nonprofit organizations and institutions without the use of federal funds. Second, NDN has become the primary vehicle for Follow Through, Title I, and Project Information Package (PIP) dissemination efforts. Third, a greater emphasis has been placed on evaluation concerns. NDN participants are increasing efforts to assess: (1) the effectiveness of their activities and services; and (2) the outcomes of project implementation at local adopter sites. Finally, greater emphasis and resources have been focused on providing funded disseminators (Facilitator and Developer projects) with the training, materials and support they need to better perform their functions.

In summary, the five years of experience of this program, combined with the results of early evaluations, led to significant changes in program strategies. The preparation of materials to guide project implementation has been folded into NDN operations, the NDN has expanded its scope and project offerings, the importance of technical assistance and training for dissemination agents and for individuals who choose to adopt and implement exemplary projects has been underscored, and the importance of examining strategies and operations for improvement through the conduct of studies and evaluations has been realized as an integral component of the dissemination and school improvement process.

Ongoing and Planned Evaluation Studies:

Study of Dissemination Efforts Supporting School Improvement. (Ongoing)

The purpose of this study is to examine the process of school improvement and the dissemination strategies at the Federal and State level in order to determine what roles federal and State dissemination activities play in the process and to determine ways in which dissemination activities should be conducted in the future. The study is being conducted by the NETWORK of Andover, Massachusetts. In FY 1979 this study (1) produced a report entitled, "A Policy Study of Resource Centers for the Division of Follow Through Programs", which was used to determine future funding and operational policies regarding Follow Through's Resource Centers; (2) developed and pilot-tested a formative evaluation guidebook for use by NDN funded disseminators; (3) produced a report entitled, "Preliminary Description of Selected Dissemination Activities in the

Education Division of DHEW", which was used to provide data to aid the work of the Education Department's Transition Team; and (4) was expanded to provide for the examination of ESEA Title I dissemination efforts. (Project Completion date: December 1981).

Study of How School Districts Use Evaluation for School Improvement. (Ongoing)

This study is investigating local evaluation efforts that have successfully used evaluation to improve practices, determine the conditions that foster the use of evaluation, formulate a strategy for bringing about more widespread improvement of local level evaluation practices and recommend what steps or activities ED should consider to address this goal. (Project completion date: September 1981).

Design of a System for Assessing Project Implementation. (Planned)

The purpose of this effort is to develop an implementation assessment resource guidebook and to design a system or strategies to foster its use. This two-year effort will develop, pilot-test, revise and disseminate an implementation assessment guidebook to local education agencies and project disseminators participating in the National Diffusion Network. The outcome will be to provide local project implementors and project disseminators with a structure and accompanying procedures for obtaining information useful for influencing decisions and corrective actions needed to improve educational practices, and to determine what the Federal role should be in fostering the use of local implementation evaluation. (Project initiation date: December, 1980).

Sources of Evaluation Data:

Current

Campeau, P. L. et al., Final Report: Evaluation of Project Information Package Dissemination and Implemenation. Palo Alto, California: American Institutes for Research, January 1979.

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Tallmadge, G. K., The Development of Project Information Packages for Effective Approaches in Compensatory Education. Technical Report UR-254, Mountain View, California: RMC Research Corporation, 1974.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Libraries and Instructional Resources

Legislation:	Expiration Date:
Title IV, Part B of the Elementary and Secondary Education Act of 1965, as amended by P.L. 95-561	FY 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION 1/
	1975	$350,500,000	$137,330,000
	1976	Indefinite	147,330,000
	1977	Indefinite	154,330,000
	1978	Indefinite	167,500,000
	1979	Indefinite	180,000,000
	1980	Indefinite	171,000,000 2/
	1981	Indefinite	171,000,000

Program Goals and Objectives:

ESEA Title IV, Part B, is a formula grant program in which three categorical programs were consolidated to provide State education agencies with more flexibility in the use of appropriated funds. The three programs consolidated are School Library Resources, ESEA, Title II; School Equipment and Minor Remodeling, NDEA, Title III; and the Guidance, counseling, and Testing portion of ESEA, Title III.

The purpose of this program as specified by the legislation are acquisition of school library resources, textbooks, and other instructional materials, and instructional equipment for use in the academic subjects, for instructional purposes only. Funds are available to State education agencies for administration of the program.

For school year 1980/81 (FY 80 appropriation) guidance, counseling, and testing activities have been removed from this consolidation, since Congress has provided a separate appropriation under the new authority of ESEA Title IV, Part D.

1/ Program is advance funded; amount appropriated in one fiscal year is available the next fiscal year.

2/ Excludes $18,000,000 for Guidance, Counseling, and Testing, appropriated separately in 1980 under the authority of Title IV, Part D.

Program Operations:

Program funds are allocated to each State from the amount appropriated to carry out Part B in an amount which bears the same ratio to the total as the number of children aged 5 to 17, inclusive, in the State to the number of such children in all the States. The State is required to distribute these funds among local education agencies (LEA's) according to the enrollments in public and nonpublic schools within the school districts of such agencies, except that higher per pupil allocations will be provided to (1) LEA's who have a substantially greater tax effort for education than the State average, but whose per pupil expenditure is no greater than the State average, and (2) LEA's which have the greatest proportions of children whose education imposes a higher average cost, e.g., low-income children, rural children, and children from families in which English is not the dominant language. Local education agencies are given complete discretion (subject to provisions for equitable participation by private school children) in determining which Part B program purposes they will fund. SEAs provide technical assistance on program development and monitor projects for program compliance.

Program Scope:

The 50 States, District of Columbia, Puerto Rico, American Samoa, Guam, The Northern Mariana Islands, Trust Territory of the Pacific Islands, Virgin Islands, and the Department of the Interior (for children and teachers in elementary and secondary schools operated for Indian children by the Bureau of Indian Affairs) had ESEA Title IV State plans approved by the Commissioner of Education for fiscal year 1980; about 16,376 local education agencies had approved Part B projects in fiscal year 1980.

Program Effectiveness and Progress:

The following program table contains preliminary data showing actual expenditures of Part B funds in years 1978-80.

	1978	1979	1980
School Library Resources and Other Instructional Materials, Textbooks	$69.3M (57.3%)	$79.0M (48.6%)	$86.0M (49.4%)
Equipment and Minor Remodeling	$36.6M (30.2%)	$67.0M (41.2%)	$70.0M (40.2%)
Testing, Counseling, and Guidance	$15.0M (12.5%)	$16.5M (10.2%)	$18.0M (10.4%)
Total	$120.9M (100.0%)	$162.5 (100.0%)	$174.0 (100.0%)

The following information for school year 1979/80 indicates program effectiveness and progress:

- o Average per pupil expenditure is $4.00 overall
- o An average of $5.44 per child serves 7,000,000 low income children
- o An average of $6.49 per child serves 901,418 rural school children
- o Funds enable LEAs to use new technologies such as microcomputers, video taping systems, and video discs
- o Funds have assisted in increasing the number of books in public school library media centers.

The ESEA Title IV-B program has a requirement that the aggregate of State, local, and private school expenditure for IV-B purposes in the preceding year equal those of the second preceding year. There is a provision for waiver of the requirement under certain circumstances. No waiver has been requested since 1977 when Guam requested and received a waiver.

Private school children were able to participate equitably in the program because of the special efforts made by State and local educational agencies and State Title IV Advisory Councils. In FY 1979, an estimated 41.5 million public and 4.3 million private school children participated in the program.

The U.S. Catholic Conference testified that parochial school officials rate this program as the most equitable and the fairest in providing services and benefits to private school children. It is estimated that the percentage of funds expended for Part B benefits to private school children - 7.5% of the total Part B allocation - corresponds roughly with the percentage of eligible private school children in the school population.

A study completed in FY 1980 examined the implementation and management of the program. This study supports the following general conclusions about Title IV:

- o Title IV is a popular, well-run program that is praised for its flexibility and ease of administration. State and local program staff cite Title IV as a model federal program because of its minimal categorical constraints and procedural red tape. Federal staff receive high marks for their ability and responsiveness in program administration.

- Title IV did not result in a consolidated management of former categorical programs. Most states and local districts manage IV-B independently, as they did the categorical programs replaced by Title IV. The few that consolidated Title IV management and program activities did so because their preexisting management style favored program integration. For the most part, however, little or no consolidation occurred because neither the Title IV legislation nor the federal program response contained incentives for state officials to make more than pro forma response to the Title IV consolidation.

- State and local school districts vary in the substance, management, and quality of their IB-B activities. State and local program staff have taken advantage of Title IV's discretion to shape program activities to their particular and often quite different needs and management preferences.

  However, both the strength and weakness of Title IV lie in its flexibility. Title IV's programmatic discretion permits state and local staff to develop activities that respond to their needs much more effectively than a federally developed strategy could. Federal and state directives merely target funds and articulate broad program objectives; state and local staff determine what happens next. State management of IV-B depends on the interests of program staff, their expertise, and their assessment of the program strategies most likely to enhance local practices. Similarly, local interests and skills determine the implementation of federal and state Title IV regulations. If local commitment or expertise is lacking, Title IV funds can be underutilized, with IV-B becoming primarily a way to fill gaps in local purchasing. In this case, IV-B funds become a wasted opportunity and do little more than sustain the status quo.

- Small IV-B grants can induce substantial improvement in local practices. Small Title IV grants can greatly assist in developing district practices and resources because they allow staff to tailor activities to local needs and because they often stimulate local commitment and enthusiasm. The freedom to specify project objectives, identify target groups, and devise project strategies often elicits a level of local creativity and interest that is absent when categorical strings diminish local sense of ownership and constrain choices.

Because Congress granted local districts complete autonomy in allocating IV-B funds among the program's eligible purposes, the state has less to do with shaping local projects, and most SEA IV-B staff now see their function as that of auditor and program guideline interpreter. Few SEA staff view themselves as constrained by federal regulations, however. In fact, many SEA IV-B respondents in this study's sample (46 percent) believe that state-level staff can do more with the program if they so desire. Although it is true for only a minority of states, some SEAs have used state-developed management, planning, and information strategies to persuade local districts to view IV-B as more than an acquisition service.

Local allocation choices since the IV-B consolidation mirror the purposes of ESEA Title II and NDEA III, former categorical programs. The study found that on average only 8 percent of local IV-B funds are used for guidance and counseling activities; 62 percent of the school districts in the sample spend none of their IV-B funds on guidance and counseling.

Three-fourths of the districts in the sample allocate their funds on a per capita basis to individual schools. In these cases, there is little that can be called a IV-B program, and school site personnel use their IV-B allotment to supplement ongoing activities. However, one of the most impressive observations from the fieldwork is that, when time and effort are spent in developing a focused project, a small IV-B grant often yields a high return. Furthermore, many local administrators report that, especially as local budgets tighten, IV-B funds are critical in maintaining the quality of district library/media resources and individualized instruction programs.

Title IV operations across the country demonstrate that there may be multiple program strategies to achieve a particular aim, and that successful implementation can involve programmatic and organizational development as well as compliance by lower levels of government. The legislative and administrative history of the Title IV consolidation reveals how federal choices can strongly influence state behavior. At the state level, the way an SEA is organized and its customary way of dealing with local districts largely determine whether the state acts as a passive funding conduit, concerned only with compliance, or whether it actively shapes federal programs to promote the state priorities. Along with a state's political culture, these factors also critically affect the kind of technical assistance that SEAs provide to local districts.

An analysis of funding mechanisms and their effect on rural areas indicates that ESEA Title IV-B funding formulas are operating to provide rural areas with at least a proportional share of Federal funds and in most cases somewhat more.

Ongoing and Planned Evaluation Studies:

An evaluability assessment of this program is tentatively planned for FY 1981.

Sources of Evaluation Data:

Bass, G. and Berman, P., Funding Mechanisms and Their Effect on Rural Areas: Analysis of Two Federal Programs. The Rand Corporation, 1979.

McDonnell, L.M. and McLaughlin, M.W., et. al. Program Consolidation and The State Role in ESEA Title IV. The Rand Corporation, April 1980.

House Report No. 95-1137, 95th Congress, 2d. Session.

ESEA Title IV Annual Reports.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Improvement, Resources, and Support:
Part C--Improvement in Local Educational Practice

Legislation:	Expiration Date:
Title IV, Part C of the Elementary and Secondary Education Act of 1965, as amended by P.L. 95-561.	September 30, 1983

Funding History:	Year:	Authorization:	Appropriation: 1/
	1976	$350,000,000	$184,521,852
	1977	Indefinite	194,000,000
	1978	"	197,400,000
	1979	"	197,400,000
	1980	"	197,400,000
	1981	"	142,400,000

Program Goals and Objectives:

ESEA Title IV, Part C is a State formula grant program to strengthen the quality of elementary and secondary education through support of locally initiated projects and activities. In particular, funds are provided to improve educational practices in the following areas: (1) programs for children with special needs (e.g., educationally deprived, gifted and talented, and handicapped), for children who do not complete secondary school, and for children who attend private schools; (2) the teaching of basic skills; (3) encouraging the participation of parents in the education of their children; (4) the diagnosis of learning problems, and the assessment of children's educational achievement; (5) school management and the coordination of Federal, State, and local resources to meet the individual needs of every child in a school; (6) professional development programs for teachers, administrators, and other instructional personnel; (7) pre-kindergarten and family education programs related to identifying potential barriers to leraning, educating parents in child development, home-based programs, and referral services; (8) use of community resources, such as museums, businesses, labor organizations, in the educational process; and (9) compensatory education including summer programs to maintain and increase students' academic progress during the regular school year, parent education programs to promote a partnership between parents and teachers and help parents develop the skills necessary to motivate and assist their children, retraining programs to improve the skills of teachers and other educational personnel, and programs to develop educational materials for use by children in the home.

1/ Program is advance funded from prior year's appropriation. The year shown is the year of appropriation. Funds include $51 million set-aside for Strengthening State Educational Management activities which, beginning FY 1980, can also be funded separately under ESEA V-B.

Program Operations:

From the total amount available for Title IV, Part C, the Secretary of Education allots to each State an amount proportionate to the number of children age 5-17 in the State, as compared with the total number of children in all the States. (The term "State" as used here includes the District of Columbia and the Commonwealth of Puerto Rico.) Up to one percent of the amount available under Title IV, Part C, may be reserved for Guam, American Samoa, the Virgin Islands, Trust Territory, Northern Mariana Islands, for schools operated for Indian children by the Department of the Interior, and for children in the overseas dependents schools. Up to 15 percent of the IV-C funds received for a fiscal year, or the amount allocated for these activities in Fiscal Year 1973, whichever is greater, may be used for the ESEA, Title V-B, strengthening program.

A State (other than an insular area) may use up to 5 percent of its Title IVB and IVC funds or $225,000, whichever is greater, to administer its State plan. Remaining funds in Part C support State discretionary grants to local school districts for projects in priority areas determined by the States within the purposes of the law. States are directed to provide technical assistance to LEAs less able to compete (e.g., small districts) to assure their participation on an equitable basis. Fifteen percent of the available funds must be used for programs or projects directed to education of handicapped children. At least 50% of any increase in a State's Part C allotment (due to population shifts or other causes) above the amount alloted in FY 1979 must be devoted to encouraging innovation and improvement in compensatory educational efforts. In FY 1980, at least 5% of any increase in a State's Part C allotment above the amount alloted in FY 1979 must be devoted to the improvement of school management and the coordinated use in schools of all available resources. In FY 1981 and succeeding years, this percentage increases to 10%.

To receive a grant, a State is required to submit, or have on file with the Secretary, a general application, and a State plan that describes the purposes for which the funds will be spent. The general application, as prescribed in Section 435 of the General Education Provisions Act, as amended, includes assurances that the State will adopt and use proper methods of administering the Title IV program in such areas as monitoring, technical assistance, coordination, dissemination, and evaluation. The general application remains in effect for the duration of the State Title IV, Part C, program.

As described in Appendix A of the final regulations for Title IV (published in the Federal Register on April 7, 1980, 45 FR 23602)1/, the State plan must include: any priorities in Part C program purposes or activities the SEA intends to implement; the application review process and criteria for funds distribution; assurance that it will meet the requirements pertaining to equitable participation of pupils and teachers in private schools; a plan to coordinate Federal and State funds for preservice and inservice education of educational personnel in the State; the activities the State Advisory Council will conduct to carry out its advisory, evaluation, and reporting functions; staffing and administration of the Part C program; and the means by which technical assistance will be provided to LEAs.

1/ These regulations were rejected by Congress because of a disagreement over the uses of IVB money. The regulations have been rewritten and are due to be effective November 4, 1980.

The State plan must be submitted to the Office of the Governor, the State Advisory Council, and be published and circulated throughout the State 60 days prior to being submitted to the U.S. Department of Education (ED) in order that comments on the plan may be obtained. The State plan need be submitted only once every three years.

With respect to evaluation, each State must evaluate the effectiveness of the Title IV program at least once every three years, and cooperate in any Title IV evaluation study conducted by or for the Secretary or other Federal officials. For Part C project, the purposes of the evaluation include determination of the extent to which the educational priorities identified in the State plan are being improved in participating LEAs, and the extent to which LEAs are incorporating successful practices supported by IV-C into their regular program.

Prior to submitting a plan, an SEA is required to appoint a State Advisory Council (SAC) broadly representative of the cultural and educational resources of the State. The SAC includes: teachers, principals, and superintendents employed by LEAs and private schools in the State; teachers from institutions of higher education; school librarians and guidance counselors; education specialists; and parents and students. The SAC's responsibilities include:

(1) advising on the preparation of, and policy matters arising in the administration of, the State plan, including the development of criteria for the distribution of funds and the approval of applications from LEAs;

(2) evaluating all programs and projects assisted under Title IV;

(3) preparing, at least every three years, and submitting to ED through the SEA, a report of its activities, recommendations, and evaluations together with such additional comments as deemed appropriate.

To receive a subgrant, an LEA must submit a general application, and a project application that describes the purposes for which the funds will be spent. Subject to the availability of funds, an SEA may make a commitment to an LEA to fund a multi-year Part C project, but not for more than five fiscal years, excluding the period during which the LEA received a planning grant.

In applying for funds, LEAs must consider children and teachers in nonpublic schools in their districts on the same basis as children in public schools. Subpart H - Participation of Children Enrolled in Private Schools - of the Final Regulations (implementing Section 406 of Title IV) requires an LEA to: (1) consult with appropriate representatives of the children enrolled in the private schools within its boundaries during all phases of the development and design of project; (2) ensure equitable participation by children in private schools who have the same needs and are in the same attendance area, or age or grade group as public school children participating in the project; (3) provide benefits to private school children that are different from those for public school children if the differences are necessary to meet their needs; and (4) spend the same average amount of Title IV funds on a private school child as a public school participant unless the costs of meeting the needs of nonpublic school children are different from the costs of meeting the needs of public school children.

SEAs are required to include in their State plan an assurance that nonpublic school requirements will be met (or that these requirements cannot legally be met), and describe how they will provide technical assistance to private school officials who desire to participate in Federal elementary and secondary education programs. In order to receive a subgrant, an LEA must include in its project application such information as the number of public and private school children enrolled in the district, the number to be served by the project, how they were selected, and where they will be served so that the SEA can determine whether the nonpublic school requirements are being met.

In monitoring the operation of Title IV in the States, Department of Education teams conduct reviews of State administration of the program. These reviews are designed to go beyond compliance checks and determine progress in remedying shortcomings disclosed in prior reviews. These reviews have shown that State departments of education have given priority attention to their responsibilities to aid local school districts in developing Title IV-C projects. They have reorganized their staffs or reassigned duties to accomplish the purposes of Title IV. The virtually universal pattern is a top-echelon official of the State department supervising a Title IV coordinator, a Part B and a Part C specialist, a disseminator and a facilitator, assisted by personnel and services of the department.

The schedule for the ED reviews includes time for the team members to visit and observe LEA projects and to discuss with LEA and project personnel the nature and quality of services rendered by the SEA under Title IV. One of the goals in this process is to improve the ability of SEAs to promote the adoption of successful, validated IV-C projects.

Program Scope:

In the 1980 program year, more than 7,500 local projects were funded by the States through competitive awards to local education agencies. Project participants included 13.4 million public and 2.6 million private school children.

Of the total appropriation of $197.4 million, $137.4 was budgeted as "pass-through" funds to be distributed to local education agencies by the State agencies on a competitive basis. The remainder, $60 million, was for State program administration and activities to strengthen State education agencies. More than half these funds were used by the States to provide technical assistance services to local education agencies.

For program year 1981, grants ranged in size from $793,000 to Alaska to over $17 million to California. Six states - California, New York, Texas, Illinois, Ohio, and Pennsylvania - each received over $9 million in IV-C monies. Six states (and the Insular Areas) - Alaska, Delaware, Nevada, North Dakota, Vermont, Wyoming - each received under $1 million.

Data from the fourth annual report of the Uses of State Administered Federal Education Funds for Fiscal Years 1977 and 1978 provide the following information regarding IV-C participants and funded activities: In Fiscal Year 1977, SEAs spent 40% of their funds on developing new approaches to educational problems (i.e., developmental projects), and 13% of their funds on adoption and dissemination projects. Three states - Indiana, Missouri, and Oregon - spent more than 90% of their funds on developmental projects. Another

9 states spent between 70% and 90% on developmental projects. In contrast, Illinois spent 60% of its funds on adoption projects. Florida and Montana followed with 40% and 35%, respectively.

The percentage of LEAs per State receiving IV-C funds rose from 13% in Fiscal Year 1977 to 17% in Fiscal Year 1978. In FY 1977, 6 states - Kentucky, Georgia, Maryland, Nevada, Ohio, and West Virginai - each distributed funds to 50% or more of their LEAs. In 16 states, 10% or less of LEAs in each State received IV-C funds. In FY 1978, 11 states distributed funds to 50% or more of their LEAs; 13 states distributed funds to 10% or less of their LEAs.

In FY 1978, 37% of the grants to LEAs were less than $10,000. Four states - Montana, Kentucky, Nebraska, and Indiana - concentrated more than two-thirds of their grants in this category. Fifty-six percent of the grants nationwide were between $10,000 and $100,000; 7% were $100,000 or more. Maryland spent 67% of its funds on grants of $100,000 or more. Five states - Illinois, Florida, Louisiana, Michigan, and Texas - spent approximately one-quarter of their funds on grants of $100,000 or more. In FY 1978, 45% of the funded LEAs had 25,000 or more pupils; 21% had between 10,000 and had fewer than 25,000 pupils; and 34% had fewer than 10,000 pupils. Fifty-one percent of the LEAs had had a IV-C grant the year before as compared to 71% in FY 1977.

In a recently completed evaluation study (McDonnell and McLaughlin, 1980), SEA IV-C State directors reported that the following major activities were supported in FY 1978.

FY 78 PROJECT MAIN FOCUS

(Excluding Mini Grants)

Project Activity	Average % Total Funded Projects
Staff Development	14
New or Revised Curriculum	43
General Enrichment	14
Special Education	13
Counseling and Guidance	6

Respondent: SEA IV-C Director.

N = 41.

Since consolidation fewer projects focused on health and nutrition and dropout prevention, although the number of states with such projects increased. In 1976, prior to consolidation, 9 states funded dropout prevention programs, and 6 states funded health and nutrition programs. Comparable figures for 1978 are 267 states for dropout prevention, and 20 states for health and nutrition.

With respect to project level activities, a survey of local IV-C project directors indicated that 75% of their projects emphasized specific curricular areas. The table below indicates the percentage of projects with particular curricular components. (Note that a project may emphaisze more than one component and therefore the percentages do not sum to 100.)

PROJECT CURRICULAR COMPONENTS

Curriculum Area	% Projects
Reading, Spelling, or English	29
Mathematics	28
Secondary or foreign Languages	3
Social or Cultural Studies	16
Arts and Music	9
Environment and Ecology	11
Science	22
Career Education or Vocational Education	25
Special Education	17
Health, Drugs, or Sex Education	7
Gifted and Talented	14
Nutrition/Health	7
Dropout Prevention	7
Early Childhood	10
Bilingual	4
Other[a]	25

NOTE: Weighted N = 12,256

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[a] "Other" project components included such activities as physical education, performing arts, computer technology, and speech.

Projects directors also indicated the major strategies they employed in implementing their project objectives. Their responses are tabulated below.

COMPONENTS OF PROJECT INNOVATION

Innovation	% Projects
New teaching method	47
New course offering	27
New use or retraining of teachers and others	48
Major reorganization of the school and/or curriculum	16
Supplementary courses and activities	52
New ways to achieve community understanding or participation	31
New use of technology	25
New guidance, counseling and testing, or remedial services	24
Planning, evaluation, and dissemination services	32
Special education for the handicapped	14
New materials	47
Other[a]	11

NOTE: Weighted N = 16,432.

[a] "Other" innovative components include adult education, student assessment techniques, approaches to student discipline, preschool programs, and research on teacher effectiveness.

Program Effectiveness and Progress:

Title IV is in its fifth year as a consolidated program. A major study was conducted to examine the effects of the consolidation as it existed prior to the Education Amendments of 1978 (McDonnell and McLaughlin, 1980). More specifically, the study looked at how the program operates in States and local school districts and assessed Ttiel IV as an example of a consolidated program strategy. This evaluation concluded that Title IV is a popular well-run program that is praised by State and local staff for its flexibility and ease of administration, but that Title IV did not result in a consolidated management of former categorical programs.

With regard to Title IV-C, study findings are listed and then discussed below.

- States and local school districts vary significantly in the substance, management, and quality of their IV-C activities. State management of IV-C depends on the interests of program staff, their expertise, and their assessment of the program strategies most likely to enhance local practices. Similarly, local interests and skills determine the nature of local implementation of IV-C projects.

- States vary greatly in their IV-C funding strategies. In recent years States have begun to shift funding strategies to support dissemination projects and adoption grants.

- Federal requirements for equitable participation of nonpublic school students in IV-C are presently unmet.

- Activities supported by IV-C strengthening funds have not changed significantly from those funded under the earlier Title V program. Strengthening funds appear to be supplementing routine SEA activities i.e., fiscal accountability and data systems.

- While in a majority of States, State Advisory Councils play an active and influential role in IV-C activities, SAC's involvement in IV-C strengthening ranges from extremely limited to nonexistent.

The IV-C program has been a major contributor to the development, validation, dissemination and replication of new kinds of activities to improve school programs and an important source of support for State education agency staff and operations. In many States it is the prime source, and in some the only source of funds for State support of local innovative projects. States vary greatly in their IV-C funding strategies. Some use a highly competitive grants process to promote selected examplary projects, while others award funds to virtually every LEA in the State. While most States spend a large portion of IV-C funds on developmental grants to initiate new approaches to educational problems, State's have begun to experiment with mini-grants, dissemination projects and adoption grants. This shift is not a result of consolidation of Title IV legislation. Rather, SEA staff report that these changes occurred because States now have better information about LEA needs and how to address them. Additionally, a range of exemplary projects currently exist that can be adopted in other local settings.

Requirements for equitable participation of nonpublic students in IV-C activities are presently unmet with only one quarter to one-third of IV-C projects including nonpublic school students. Reasons for low levels of nonpublic involvement in IV-C projects include: SEA failure to monitor the quality of local assurances and to provide assistance on nonpublic involvement; the competitive nature of IV-C funding; and the inability and unwillingness of many nonpubilc schools to actively pursue IV-C funding.

Lastly, the evaluation found that the set-aside for strengthening State education agencies has been used by States to fund all the express purposes of the strengthening component (i.e., planning and evaluation, curriculum development, training and dissemination activities, and direct services to local districts); however, various aspects of administrative support (including fiscal accountability and data systems) remain the highest priorities for the use of strengthening funds. State level developmental activities like training and dissemination receive a much smaller share of IV-C strengthening funds. As States face tighter budgets, IV-C strengthening funds are used more often for providing central services and routine SEA activities.

The Education Amendments of 1978 made major changes to IV-C, effective in Fiscal Year 1980. The consolidation provisions, adopting program purposes from previous categorical programs, were replaced by an unique set of goals and purposes for Part C, and a new title, "Improvement in Local Educational Practice", was adopted. Funds for strengthening State education agencies were authroized separately in a new Title V, with a separate State plan required every three years, instead of annually. Reports of the State Advisory Councils are also required every three years, instead of annually. More stringent requirements for assuring participation of children in nonpublic schools were also adopted. Other provisions authorize activities to develop and demonstrate innovative compensatory education programs, and projects to improve school-site management and coordination of education programs. A five year limit beyond an initial planning grant was adopted, and a phase-out of IV-C support for projects in the last two years of funding is required.

These changes in the authorizing legislation were adopted in response to findings and recommendations of evaluation reports, information gathered in the program's State Management Reviews, and recommendational from the education community.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Current:

McDonnell, Lorraine M., McLaughlin, Milbrey W., et al. Program Consolidation and the State Role in ESEA Title IV. Santa Monica, California: The Rand Corporation, 1980.

DHEW, USOE, OED. Uses of State Administered Federal Education Funds. Fiscal Years 1979 and 1978. HEW Publications No. (OE) 80-47001. Washington, DC, 1980.

Other:

Berman, P. and M.W. McLaughlin, Federal Programs Supporting Educational Change. Santa Monica, California: The Rand Corporation, 1977.

Elmore, Richard F. and M.W. McLaughlin, ESEA Title IV: Implementation Issues and Research Questions. Santa Monica, California: The Rand Corporation, 1978.

ESEA Title IV State Annual Reports.

ESEA Title IV State Program Plans.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Emergency School Aid Act (ESAA) Basic Grants Program

Legislation:

Title VI the Elementary and Secondary Education Act as amended by the Education Amendments of 1978 (P.L. 95-561).

Expiration Date:

September 30, 1983

Funding History:

Year:	ESAA Authorization:	Total ESAA Appropriation:	Basic Grant Appropriation:
1973	$1,000,000,000	$228,000,000	$134,500,000
1974	Total of	236,000,000	146,900,000
1975	$1,000,000,000	215,000,000	133,500,000
1976	for FY 74-76	245,000,000	137,600,000
Transition Quarter		3,000,000	
1977	Total of	257,500,000	137,600,000
1978	$1,000,000,000	300,500,000	137,600,000
1979	for FY 77-79	300,000,000	137,600,000
1980	422,250,000	269,623,000	118,800,000
1981	422,250,000	284,313,000	118,800,000

Program Goals and Objectives:

In June of 1972 the Emergency School Aid Act (ESAA) was enacted into law to provide financial assistance: "(1) to meet the special needs incident to the elimination of minority group segregation and discrimination among students and faculty in elementary and secondary schools; and (2) to encourage the voluntary elimination, reduction or prevention of minority group isolation in elementary and schools with substantial proportions of minority group students." [1]

The Basic Grants Program is the largest of the ESAA subprograms. Basic Grants are available to LEAs for the purpose of meeting needs that arise from implementing a qualifying desegregation plan. An LEA may use its funds for any activity that is designed to meet an educational need that arises from a qualifying plan. A qualifying plan is a plan which is either required by court or State order, or which is not required but which will result in the elmination, reduction or prevention of minority group isolation. Examples of activities specifically authorized by ESAA include staff hiring and training, the development of instructional materials and procedures, innovative educational activities, community relations activities, etc.

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[1] A third purpose, "to aid school children in overcoming the educational disadvantages of minority group isolation," was deleted from the Act in the Education Amendments of 1978 (P.L. 95-561).

Program Operations:

The Basic Grants Program is a discretionary program whose funds are apportioned to States according to a formula that considers the numbers of minority school-aged children in the State. Unused funds from any State's apportionment may be reapportioned by the Secretary either for other States or for other ESAA subprograms.

The Office for Civil Rights determines whether each LEA has a qualifying desegregation plan and meets other civil rights compliance standards specified in the Act. Basic Grants may be awarded to any LEA which: (a) is implementing a required plan or has adopted and will implement a non-required plan if assistance is made available; or (b) has a plan to enroll non-resident children in its schools to reduce minority group isolation.

Applications are made directly to the Department of Education. Within each State, LEAs are first assigned to one of three categories, depending on the recency of the desegregation plan. Within each category, applicants are ranked according to the amount of reduction in minority group isolation after the implementation of the plan.

A panel of outside readers reviews each application to determine which are recommended for funding. This review considers whether the proposal contains activities that address educational needs arising from the plan; the quality of the proposed project; and whether the plan involves, to the extent possible, the total educational resources of the community. As a result of the review process, each application is either recommended or not recommended for funding. Within a State, recommended applications are then funded in order until the State apportionment is exhausted.

This process is conducted in two cycles which allows unsuccessful applicants to revise and resubmit their applications after the initial review. Beginning in FY80, LEAs may apply for multi-year funding of Basic Grants. The criteria for receiving awards extending beyond one year are the severity and duration of need, the nature of the proposed activities, and the recency of the qualifying plan.

Funded projects are monitored by ESAA program officers. Some additional technical assistance is available from ESAA-funded Non-Profit Organizations and from desegregation centers funded under Title IV of the Civil Rights Act. Local project reporting consists of financial reports, final reports and a final evaluation report.

Program Scope:

For FY79, 345 ESAA Basic awards, totaling $135,146,000 were made. Not all applicants received funding however. Over the past three years the percent of applicants receiving funding has declined from a high of 86% in FY77 to 60% in FY79. ESAA funds do not reach all districts which have desegregation plans resulting in a high degree of reduction in minority isolation. For example, sixty percent of the districts which had a relatively high reduction in minority isolation prior to 1974 never received an ESAA grant. Most of these districts did not apply for ESAA funds, possibly because of the necessary civil rights review prior to funding.

Program Effectiveness and Progress:

Targeting. A study of ESAA FY78 grantees showed that ESAA districts tended to be larger than the national average, and to have lower State and local per-pupil expenditures. More than half of the districts were located in the South, although southern districts received comparatively smaller grants than the districts in other areas. Within districts, ESAA funds were targeted primarily on elementary schools; 75% of all schools receiving ESAA-funded services were elementary. ESAA schools tended to be larger than the national average, and to have a higher than average minority concentration, as might be expected from the intent of the legislation.

ESAA funds are intended to assist districts in responding to their desegregation-related needs. Several studies (Smith, 1978; Wellisch 1979) have reported that funds are not appropriately targeted and that most ESAA funds go to districts that desegregated long ago. For example, of those districts receiving ESAA Basic Grants in FY78, 83% began desegregating prior to 1973. Recognizing this difficulty, Congress amended ESAA in 1978 to incorporate recency of desegregation as one of the criteria for funding. Beginning in FY80, Basic Grant awards will be governed by the new criteria.

Another difficulty in the appropriate targeting of funds is that the State apportionment formula is based on the number of minority students in a State, which is not necessarily related to the State's desegregation needs. The formula is unable to provide adequate funds for newly desegregating large urban school districts. This problem is alleviated somewhat by the ability of the Secretary to reapportion unused funds from one State to another, and by the addition, in recent years of Special Project grants, which are not subject to the State apportionment formula.

Several studies have found that ESAA funds are often used for general education assistance and compensatory education rather than desegregation assistance (Coulson, 1977; Smith, 1978). In FY80, for example, over 85 percent of the ESAA Basic elementary schools sponsored compensatory education services with their ESAA funds. Although the academic needs of ESAA schools are not disputed, the studies questioned whether a program for emergency school desegregation aid should be a compensatory education program. In the 1978 education amendments, Congress enacted certain changes in the ESAA legislation designed to encourage a closer relationship between ESAA-supported activities and the desegregation needs of participating school districts. The changes include deletion of one of the original purposes of the law ("to aid school children in overcoming the educational disadvantages of minority group isolation") and a revision of the list of authorized activities to decrease the emphasis on compensatory education. A future study will examine the impact of these legislative changes on the type of activities funded by ESAA.

Although most ESAA Basic funds are spent on general or compensatory educational activities, about two thirds of ESAA Basic districts funded some human relations activities in at least one school during FY78, reflecting an increase in the funding of such activities over the last two years. Two types of human relations activities were funded. One type focused on improving intergroup relations and included activities designed to ease racial tensions, improve intergroup interactions, and promote intercultural awareness and understanding. The second type focused on problems associated with minority isolation and included activities designed to improve self-concept of students and to prevent or treat specific problems of individual students. In those districts that did provide human relations services, more than a third of their ESAA grant, on the average, was used for this purpose.

Effectiveness. A 1973-76 longitudinal evaluation of ESAA found evidence of program impact in improving academic achievement in the final year of the study for Basic elementary schools, although no such evidence was found at the high school level. An earlier study of the Emergency School Aid Program (precurser to ESAA) also reported higher achievement scores for black male students in ESAP schools in comparison to similar students in schools with no ESAP funds.

Several studies (Crain, 1973; Forehand, 1976) have reported a relationship between effective ESAA programs and the presence of human relations activities in the school. A recent study (Doherty, 1980) reported that students who received ESAA-funded human relations services showed greater improvement in measures of intergroup relations than students without such services. Several characteristics of schools and programs were related to improvement in student intergroup attitudes, intergroup behavior and self concept. These included community support for desegregation, principal and staff commitment to human relations services, the presence of human relations training programs for staff, and the existence of a parent program.

Maintenance of Effort:

ESAA regulations have maintenance of effort assurance requirements. Applicant school districts must assure: (1) that they have not reduced their fiscal effort for public education to less than that of a specified prior fiscal year, and (2) that current expenditures per pupil from local sources are not less than that of a specified prior year. In fiscal year 1979 there were no waivers of the ESAA maintenance of effort requirement. Monitoring of maintenance of effort requirements is included as part of the regular monitoring visits by ED staff.

Ongoing (O) and Planned (P) Evaluation Studies:

"ESAA Exploratory Evaluation" conducted by ED staff and by contract. Due 1980. (O)

This study will examine and synthesize the differing views of the goals and objectives of ESAA and make appropriate management recommendations.

"A Study of the Effects of Selected ESAA Supported Activities on Intergroup Relation and Basic Skills," under contract with System Development Corporation. Due 1980 (O)

This study will describe the types of human relations program funded by ESAA and examine the types of human relations activities that are most effective in improving intergroup relations within school.

"A Study of Parental Involvement in Four Federal Education Programs," under contract with System Development Corporation. Due 1980. (O)

This study will examine the types of parental involvement in four programs (Title I, ESAA, Bilingual Education, and Follow Through). Later phases of the study will seek to identify effective parental involvement projects.

"Study of Multi-Ethnic Desegregation," Due 1982. (P)
This study will examine school district needs and problems in multi-ethnic desegregation situation, and the most effective ways in which ESAA can provide assistance.

"Study of ESAA-Funded Activities." Due 1982. (P)
This study will analyze ESAA-funded activities to determine whether changes in the ESAA legislation resulting from the Education Amendments of 1978 have led to corresponding changes in the types of activities funded by ESAA. The study will also establish a management information system for the ESAA Program.

Sources of Evaluation Data:

1. Acland, H. Secondary Analysis of the Emergency School Assistance Program. Santa Monica, California: Rand Corporation, 1975.

2. Better Criteria Needed for Awarding Grants for School Desegregation. Washington, D.C.: General Accounting Office, 1978.

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13. Seefeldt, E. *ESAP Community Group: An Evaluation.* Washington, D.C.: Kirschner Associates, 1972.

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16. Wellisch, Jean B., *et al.* *Characteristic and Contexts of ESAA Basic Human Relations Program.* Santa Monica, California: System Development Corporation, 1979.

17. *Weaknessess in School Districts: Implementation of the Emergency School Assistance Program.* Washington, D.C.: General Accounting Office, 1971.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Emergency School Aid Act (ESAA) Nationally Competed Funds

Legislation:	Expiration Date:
Title VI of the Elementary and Secondary Education Act as amended by the Education Amendments of 1978 (P.L. 95-561).	September 30 1983

Funding History:	Year:	Total ESAA Authorization:	Total ESAA Appropriation:	Nationally Competed Appropriation:
	1973	$1,000,000,000	$228,000,000	$93,500,000
	1974	Total of	236,000,000	89,100,000
	1975	1,000,000,000	215,000,000	81,500,000
	1976	for FY 74-76	245,000,000	107,400,000
	Transition Quarter		3,000,000	--
	1977	Total of	257,500,000	119,900,000
	1978	1,000,000,000	300,500,000	162,900,000
	1979	for FY 77-79	300,000,000	162,400,000
	1980	422,250,000	269,623,000	150,823,000
	1981	422,250,000	236,333,000	128,533,000

Program Goals and Objectives:

The Emergency School Aid Act (ESAA) was enacted to provide financial assistance: "(1) to meet the special needs incident to the elimination of minority group segregation and discrimination among students and faculty in elementary and secondary schools; and (2) to encourage the voluntary elimination, reduction or prevention of minority group isolation in elementary and secondary schools with substantial proportions of minority group students." 1/

ESAA has six active subprograms. The one State apportionment program -- Basic Grants -- is discussed separately elsewhere. The other five are nationally competitive subprograms: Special Projects, Magnet Schools, Nonprofit Organizations, Educational Television, and Evaluation. Two other ESAA subprograms -- Pilot Projects and Bilingual Projects -- were funded for the final year in Fiscal Year 1979. 2/

1/ A third purpose, "to aid school children in overcoming the educational disadvantages of minority group isolation" was deleted from the Act in 1978 (P.L. 95-561).

2/ Effective in FY 1980 awards for the 1980-81 school year, the Pilot Projects authorization is repealed and the Bilingual Projects transferred to Title VII of the Elementary and Secondary Education Act. Another change involves the expansion of Educational Television awards to include radio as well.

Special Project awards include a number of separate subprograms, all small except the Emergency Special Project awards. The latter are intended for LEAs which adopted voluntary desegregation plans or received court ordered plans too late in the school year to apply for an ESAA award during the regular funding cycle. Smaller Special Project awards are for the territories, interdistrict transfer, arts projects, State Education Agency awards, preimplementation, and other awards.

A Magnet School is a school that offers a special curriculum or unique form of teaching for the purpose of attracting both minority and majority students in order to create a voluntarily desegregated school.

Nonprofit Organization grants to nonprofit groups are authorized to support the implementation of eligible desegregation plans.

Educational Television contracts are awarded for integrated children's television programs.

Evaluation contracts assess the programs aided under ESAA.

Program Operations:

ESAA is a large discretionary program. Sums are appropriated annually for the nationally competitive award subprograms within limits as specified in the Act.

Applications are made directly to the Department of Education in Washington. The Office for Civil Rights determines whether each district has an eligible desegregation plan and meets other civil rights compliance standards specified in the Act. Applications are processed and scored much as described elsewhere for ESAA Basic Grants. The main difference is that applications are ranked for funding nationally rather than within each State as is the case for Basic awards.

Program Scope:

The table below shows the distribution of ESAA resources for FY 1979 awards:

Program	No. of Appli-cants (1)	No. of Awards (2)	Percent of Appli-cants Funded (3)	Amount Obligated (thousands) (4)	Percent of Obli-gations (5)
Basic (a)	574	345	60	$135,146	46
Special	173	145	84	69,123	24
Pilot	214	147	69	31,789	11
Magnet schools(b)	67	58	87	23,960	8
Nonprofit	329	176	53	17,165	6
Bilingual	52	19	37	8,600	3
ETV	60	6	10	6,372	2
Evaluation	N/A	5	N/A	(c)1,173	0
Total	1,469	901	61	$293,328	100%

(a) ESAA Basic awards are discussed elsewhere in this report.
(b) Also includes University Business Cooperation and Neutral Site Plan awards.
(c) Excludes $1.7 million reallocated to satisfy a ceiling on consultant services.

The table of FY 79 awards shows that six of every 10 applicants (901 out of 1,469) were funded. The percentage of applicants funded was highest for the Magnet Schools and Special Projects programs where over 80 percent of applicants were funded (column 3). Competition for awards was greatest in the ETV program, where only 10 percent of applicants were funded.

Special Project and Magnet School awards have been the fastest growing ESAA subprograms in recent years. By Fiscal Year 1979, almost one-fourth of ESAA dollars obligated were under Special Projects. In only three years, Magnet Schools have increased from $0 to almost $24 million.

Program Effectiveness and Progress:

Magnet Schools. An evaluation report prepared for the Department of Education found that:

- o Magnet schools can be effective when used as a component of a comprehensive, district-wide desegregation effort and when used in districts with an easier desegregation task.
- o Most magnet schools are able to achieve their racial composition and enrollment goals. Among the factors that increase the likelihood of success are:
    - oo attendance zones that draw at least in part from selected neighborhoods rather than the entire community.
    - oo location of a magnet school in a racially mixed area rather than a majority or minority neighborhood.
- o The ESAA magnet school program funded many school districts with marginal needs for desegregation aid.

Educational Television. ESAA Educational Television and Radio awards support contracts to public and private nonprofit organizations for the development and production of television and radio programming that teaches academic skills and encourages interracial and intercultural understanding. Competitions for television and radio contracts are conducted separately, with applicants responding to the Department priorities, as well as initiating their own programming approaches. More than $1 million in 1980 will support ancillary service contracts to provide for commercial carriage and viewership promotion of television series and for videotape duplication, storage, and distribution. In the past, low carriage by commercial stations and poor viewership have hampered the program. The program and distribution strategy is designed to ensure that the investment in development and production will not be lost because the series fail to reach their intended audiences.

An ED sponsored survey of viewership of television series funded by ESAA found:

- A substantial proportion of the principal intended target audience (Black and Hispanic children) are in communities in which the older, established ESAA television series are broadcast. The newest ESAA series were just becoming available at the time of data collection (May 1977) and at that time reached only a small proportion of the audience.

- Viewership data for individual programs showed that a regional program, "La Esquina," has an 8.5 percent viewership. Another regional series, "La Bonneaventure," had 3.6 percent viewership. All other ESAA-TV series were below 3 percent viewership, including national programs such as "Villa Alegre" (2.6 percent) and "Carrascolendas" (1.5 percent). (Viewership is defined as the number of children who had watched a program once or more within the week preceding the survey divided by the number of children located in communities in which the program is broadcast.)

- Viewership rates for the target race and age audiences were generally higher than the averages shown above. The time of day and day of week that a program is broadcast also significantly affects viewership.

Nonprofit Organizations. In an evaluation report to the Office of Education, the Rand Corporation found that NPO projects are not operating as effectively as other community organizations not funded by ESAA. Activities such as developing community support for a desegregation plan or improving school-community relations can often be accomplished more effectively by a community organization than by a school district.

There are a number of factors which work against the more effective community organizations receiving ESAA funding:

- The extremely close connection between "host" school districts and NPOs has led NPOs to undertake projects agreeable to the districts and often not directly related to desegregation. The projects tend to offer education services ordinarily performed by the districts, and less often to undertake community relations and desegregation monitoring activities.

- Because NPO activities are generally not targeted to the particular phase of desegregation their districts are in, many NPO activities are inappropriate to the current desegregation situation in their districts. For example, NPOs often undertake remedial and tutorial activities when the district is in the initial stages of desegregation.

- The NPO proposal review system presently used does not succeed in identifying effective NPOs.

Regulations revisions in 1980 appear to address some of the issues raised in the Rand research. However, the strong steps that Rand recommended in order to make ESAA NPOs more effective than other groups not funded by ESAA were not adopted.

Rand's recommendation to "target NPO funds to districts actively involved in the desegregation process" was originally included in revised regulations with a modest weight (10 percent of the total score), but that weight is now down to a maximum of 3 percent.

Maintenance of Effort:

ESAA regulations have maintenance of effort assurance requirements. Applicant school districts must assure the federal government that: (1) they have not reduced their fiscal effort for public education to less than that of an earlier fiscal year, and (2) that current expenditures per pupil from local sources are not less than that of an earlier year. In fiscal year 1979 there were no waivers of the ESAA maintenance of effort requirement.

Ongoing (O) and Planned (P) Evaluation Studies:

"ESAA Exploratory Evaluation" conducted by Duke University. Due 1980. (O)

This study will examine and synthesize the differing views of the goals and objectives of ESAA and make appropriate management recommendations.

"A Study of the Effects of Selected ESAA Supported Activities on Intergroup Relation and Basic Skills," under contract with System Development Corporation. Due 1980. (O)

This study will describe the types of human relations programs funded by ESAA and examine the types of human relation activities that are most effective in improving intergroup relations within schools.

"Study of ESAA Funded Programs to Reduce Disproportionate Disciplinary Actions Against Minority Students," under contract with JWK International Corporation. Due 1980. (O)

This study examines the use of ESAA funds to deal with disproportionate discipline matters, especially examining the area of activities funded, areas of greatest apparent success, and measurement issues.

"An Assessment of the ESAA - TV Program Through an Examination of It's Production, Distribution, and Financing," under contract with Abt Associates. Due 1980. (O)

This study is to examine federal policy and other factors affecting the quality of ESAA television programming. It will also examine promotional and distribution practices and conduct some cost analyses.

"A Study of Parental Involvement in Four Federal Education Programs," under contract with System Development Corporation. Due 1980. (O)

This study will examine the topics of parental involvement in four programs (Title I, ESAA, Bilingual Education, and Follow Through). Later phases of the study will examine profiles of effective parent involvement.

"Study of Multi-Ethnic Desegregation." Due 1982. (P)

This study will examine school district needs and problems in multi-ethnic desegregation situations, and the most effective ways in which ESAA can provide assistance.

"Study of ESAA-Funded Activities." Due 1982. (P)

This study will analyze ESAA-funded activities to determine whether changes in the ESAA legislation resulting from the Education Amendments of 1978 have led to corresponding changes in the types of activities funded by ESAA.

Sources of Evaluation Data:

1. Crocker, S., et al. An Evaluation of the ESAA Nonprofit Organization Program, (4 volumes). Santa Monica, California: Rand Corporation, 1978.
2. Hebbeler, K., & Cosgrove, M. A Survey of Home Viewership of Television Series Sponsored by ESAA Legislation. Silver Spring, Maryland: Applied Management Sciences, 1978.
3. Royster, E., Baltzell, D.C., & Simmons, F.C. Study of the Emergency School Aid Act Magnet School Program. Cambridge, Massachusetts: Abt Associates, 1979.
4. Seefeldt, E. ESAP Community Group: An Evaluation. Washington, D.C.: Kirschner Associates, 1972.
5. Stout, R. Faciliating Desegregation: A Handbook for Community Organizations. Tempe, Arizona: Arizona State University, 1978.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Bilingual Education

Legislation:

Bilingual Education Act -- Title VII
of the Elementary and Secondary Education
Act of 1965, as amended by P.L. 95-561.

Expiration Date:

September 30, 1983

Funding History:	Year:	Authorization:	Appropriation:
	FY 68	$ 15,000,000	$ -0-
	69	30,000,000	7,500,000
	70	40,000,000	21,250,000
	71	80,000,000	25,000,000
	72	100,000,000	35,000,000
	73	135,000,000	45,000,000
	74	146,750,000	58,350,000 1/
	75	147,250,000	85,000,000 2/
	76	152,750,000	98,000,000 3/
	77	163,750,000	115,000,000
	78	174,750,000	135,000,000
	79	232,000,000	150,000,000
	80	299,000,000	166,963,000 4/
	81	191,463,000	179,763,000

Program Goals and Objectives:

The general goal of the Bilingual Education Program is to develop English proficiency in children of limited English proficiency and to provide them with equal educational opportunity. To achieve this goal, the Program provides

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1/ Of this amount, $9,870,000 was released and made available for obligation in FY 1974.

2/ Amount shown is after congressionally authorized reductions.

3/ Includes funds earmarked by Congress to carry out provisions of Part J of the Vocational Education Act. An amount of $2,800,000 was appropriated for this purpose each year. Subsequently, funds for vocational education have been requested under the appropriation title for Occupational, Vocational, and Adult Education.

4/ Includes $8,600,000 for the bilingual desegregation program, moved to Title VII as of 1980 from the Emergency School Aid Act by the Education Amendments of 1978.

assistance for: (a) establishing elementary and secondary programs of bilingual education, (b) establishing training programs to increase the number and quality of bilingual education personnel, (c) developing and disseminating bilingual instructional materials, (d) coordinating programs of bilingual education, (e) carrying out research studies and evaluations, and desegregating local education agencies.

The term "limited English proficiency" when applied to a student means one: (a) who was not born in the United States or whose native language is a language other than English, (b) who comes from an environment where a language other than English is dominant, or (c) is American Indian or Alaskan Native and who comes from an environment where a language other than English has had a significant impact on his or her level of language proficiency and, for these reasons, has sufficient difficulty in speaking, reading, writing, and understanding the English language to deny him or her the opportunity to learn successfully in classrooms where the language of instruction is English. The term "program of bilingual education" means an instructional program designed for students of limited English proficiency in elementary and secondary schools where instruction is given in English and, to the extent necessary, the native or dominant language of the student to allow the student to achieve competence in the English language. Such instruction may incorporate an apprepriation for the cultural heritage of the student of limited English proficiency and may be in those subjects necessay for the student to progress effectively through the educational system. A program of bilingual education may provide for the voluntary enrollment to a limited degree (not more than 40 percent) of students who are proficient in English if doing so contributes to the primary program objective of assisting students of limited English proficiency to improve their English language skills.

The Elementary and Secondary Education Act of 1965 was amended in 1968 by P.L. 90-247 to create Title VII, the Bilingual Education Act. The initial purpose of the Act was to provide financial assistance to carry out new and imaginative elementary and secondary school programs designed to meet the special educational needs of children of limited English-speaking ability.

In 1974, Congress greatly expanded the scope of the Bilingual Education Program through the Education Amendments of 1974 (P.L. 93-380). As a result of P.L. 93-380, increased emphasis was placed on both preservice and inservice training. Included were funds to increase the capacity of postsecondary institutions to train personnel to work in bilingual education programs and a major fellowship program to develop teacher trainers. In addition, the new legislation led to the development of a national network of centers [currently labeled Bilingual Education Service Centers (BESCs) and Evaluation, Dissemination, and Assessment Centers (EDACs)] referred to collectively, as the "Network" and funds to States to provide technical assistance to individual projects. In 1976, funds were allocated for the development of the National Clearinghouse for Bilingual Education. It began operating in 1977.

Other provisions of P.L. 93-380 created the Office of Bilingual Education and the National Advisory Council on Bilingual Education. The Act mandated that the Office of Bilingual Education report directly to the U.S. Commissioner of Education, called for major new initiatives in research, and mandated a national assessment of bilingual education directions and needs.

Congress clarified its definition of acceptable programs of bilingual education operated by Local Education Agencies by providing for instruction in the native language of children with limited English-speaking ability to make it possible for the children to progress effectively through the educational system while they were learning English. Emphasis was also placed on giving attention to the cultural heritage of children of Englsh-speaking ability in bilingual programs. At the same time, Congress made it clear that programs designed to teach a foreign language to English-speaking children were not allowable.

Under the Education Amendments of 1978 (P.L. 95-561), Congress clarified its intent that the primary purpose of the Program was to help children become proficient in understanding, speaking, reading, and writing the English language. The new Act called for development of entry and exit criteria for individual students; limited the participation of English proficient children to 40 percent; strengthened requirements for parental and community involvement; and emphasized serving children most in need, including the historically underserved.

Program Operations:

In general, the Bilingual Education Program awards forward-funded discretionary grants on a competitive basis to Local Educational Agencies (LEAs), institutions of higher education (IHEs), and support service centers, and contracts with State Educational Agencies. Although the majority of grants are for multiple years, grant awards are made for one year at a time -- with continuation awards for subsequent years subject to satisfactory performance and availability of funds.

The Office of Bilingual Education and the Minority Languages Affairs (created in 1979 with the new U.S. Department of Education) administers the ESEA Title VII Bilingual Education Program and funds 10 categories of subprograms: Basic Projects in Bilingual Education, Demonstration Projects, State Educational Agency Projects for Coordinating Technical Assistance, Support Service Projects, Training Projects, School of Education Projects, A Desegregation Support program, A Fellowship program, a Materials Development Projects program, and research, development and evaluation studies through Part C of the Act.

Basic Projects in Bilingual Education

A Basic Project grant is awarded to an LEA, an IHE which applies jointly with one or more LEAs, and elementary or secondary school operated or funded by the Bureau of Indian Affairs on a reservation. The purposes of the awards are to establish, operate or improve programs of bilingual education to assist children of limited English proficiency to improve their English proficiency and to build the capacity of grantees to continue these programs of bilingual education when federal funding is reduced or no longer available.

Table I

Office of Bilingual Education and Minority Languages Affairs

Allocation of Funds for FY '79-80

Category	Funding	Awards
Basic Projects in Bilingual Education	$102,000,000	552
Demonstration Projects	10,000,000	40
Centers		
Materials Development	7,200,000	18
Training Resource	9,325,000	20
Dissemination and Assessment	2,800,000	3
SEA Projects for Coordinating Tech. Asst.	5,000,000	49
Training Projects	3,000,000	43
Graduate and Undergraduate Education	16,000,000	149
School of Education Projects	1,000,000	25
Desegregation Support Program	8,600,000	19
Fellowship Program	4,000,000	500
Research and Development Program	4,825,000	18
National Advisory Council	150,000	1
Information Clearinghouse	1,000,000	1
Total	$166,963,000	

Demonstration Projects:

This program issues awards to LEA's; IHE's applying jointly with one or more LEA's; and elementary or secondary schools operated or funded by the Bureau of Indian Affairs on a reservation. The purposes of the awards are to demonstrate exemplary approaches to providing programs of bilingual education and to build the capacity of the grantee to maintain those programs when federal funding is reduced or no longer available.

State Educational Agency (SEA) Projects for Coordinating Technical Assistance:

This program issues award to SEA's in states where programs of bilingual education assisted under the Bilingual Education Act operated during the preceding year. The purpose of the awards is to assist SEA's in the coordination of technical assistance programs of bilingual education funded under ESEA Title VII within their States.

Support Services Projects:

This program issues awards to LEA's and IHE's which apply with jointly one or more LEA's for E.D.A.C.'s and to LEA's; SEA's; IHE's or nonprofit private organization (NPO's) that apply jointly with or after consultation with one or more LEA's or with and SEA for B.E.S.C.'s. The purposes of the awards for EDAC's are to provide services to programs of bilingual education and bilingual education training programs within designated services areas for the evaluation, dissemination, and assessment of bilingual education materials. The purposes of the awards for BESC's are to provide training to persons who are participating, or preparing to participate in, programs of bilingual education or bilingual education training programs and to provide technical assistance to Title VII grantees and to programs of bilingual education and bilingual education training programs whether or not these programs are funded under the Act. (In FY 1981, these two types of centers will replace the older MDCs, TRCs, and DAC.)

Training Projects:

This program issues awards to LEA's; SEA's; IHE's and NPO's which apply after consultation with or jointly with one or more LEA's or a SEA. The purpose of the awards is to establish, operate, and improve training programs for persons who are participating in, or preparing to participate in, programs of bilingual education and bilingual education training programs.

School of Education Projects:

This program issues awards to IHEs which have schools or departments of education or a bilingual education training program and which apply after consultation with one or more LEAs or with a SEA. The purpose of the award is to assist IHEs in developing and expanding their capability to provide degree-granting bilingual education training programs.

Desegregation Support Programs:

This program provides financial assistance to desegregating LEAs to meet the needs of children transferred to them who come from an environment in which the dominant language is other than English and who lack equality of educational opportunity because of language barriers and cultural differences. An LEA that meets the requirements of sections 606(a) and 606(c) of the ESAA (as amended in 1978), and any regulations implementing those sections, may apply for a grant.

Fellowship Program:

This program issues awards, through an IHE, to full-time graduate students who are preparing to become trainers of teachers for bilingual education. An IHE that offers a program of study leading to a degree above the Masters level in the field of training teachers for bilingual education is eligible to participate in this program.

An individual is eligible to apply for a fellowship under this program if this individual: (a) is a citizen, a national, or a permanent resident of the United States, or is in the United States for other than a temporary purpose and can provide evidence from the Immigration and Naturalization Service of his or her intent to become a permanent resident, or is a permanent resident of the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Northern Mariana Islands, or the Trust Territories of the Pacific Islands, and (b) has been accepted for enrollment as a full-time student in a course of study offered by an IHE approved for participation in this program. The course of study must lead to a degree above the Master's level in the field of training teachers for bilingual education.

Materials Development Projects:

This program issues awards (grants and contracts) to LEA's and IHE's which apply jointly with one or more LEAs. The purpose of the awards is to develop instructional and testing materials for use in programs of bilingual education and bilingual education training programs.

Research and Development Program:

This program issues awards for research, development and evaluation studies through competitive contracts based on proposals submitted by IHEs; private and non-profit organizations, SEA's and individuals. The purpose of the program is to enhance the effectiveness of bilingual education carried out under this Title and other programs for persons who have language proficiencies other than English. The program is implemented through the Part C Research Coordinating Committee, an interagency committee of the U.S. Department of Education.

Program Scope:

For the Office of Bilingual Education and Minority Languages Affairs, the estimated allocation of funds for FY 1980 is given in Tables 1 and 2 -- which shows that the majority of funds are allocated to bilingual education programs implemented by LEAs. On the whole, the Program serves approximately 350,000 students speaking collectively 71 languages other than English in 40 states, Puerto Rico and four U.S. Territories.

Program Effectiveness and Progress:

Although the main evaluative judgments about the effectiveness of Title VII should be based directly upon the services provided to participating students and their subsequent achievement, the impact of the program should also be considered in a larger sense of how it contributes to developing the capabilities of the nation's schools to design and implement better programs. As a major federal program aimed at providing equal educational opportunity for students of limited English proficiency, Title VII has been instrumental in drawing the attention of educators and the public to the needs of these students. Although the problem of how best to educate these students has not been resolved as quickly as had been hoped, the commitment of the federal government to assist these children is undiminished. The national consciousness about the education of students of limited English proficiency is greater then it was 5 or 6 years ago, and the Bilingual Education Program has been a central feature of this increased awareness.

Past Evaluation Studies

Two evaluations which have demonstrated the difficulty of providing an adequate education to students of limited English proficiency are "The Evaluation of ESEA Title VII Bilingual Educaton Programs" (completed in 1978) 1/ and "A Study of the State of Bilingual Materials Development and the transition of Materials to the Classroom" (completed in 1979).

The major findings of the "Evaluation Study", which collected data in the fall and spring of the 1975-76 and the fall of the 1976-77 school years were:

o Less than one-third of the students enrolled in Title VII Basic Program Grant Spanish/English bilingual education classrooms in grades 2 through 6 were judged to be of limited English-speaking ability.

o In English Language Arts, both Title VII and non-Title VII students were at approximately the 20th percentile relative to national norms. Regarding program impact, the achievement gains of Title VII Hispanic students were less than those of non-Title VII Hispanic students. In interpreting this finding, it should be noted that Hispanic Title VII students had been in a bilingual education project an average of 2.0 years for second grade students; 2.8 years, of fourth grade students; and, 3.2 years, for six grade students.

o In Mathematics computation, both Title VII and non-Title VII students were at approximately the 39th percentile relative to national norms. Regarding program impact, the achievement gains of Title VII Hispanic students were similar to those of non-Title VII students.

1/ The results from this study generated much debate; the nature of the controversy is summarized in documents (11) and (12) listed under "Sources of Evaluation Data."

Table 2

Allocation of Funds by State & Number of Projects

Title VII Bilingual Education Projects, 1979-80

STATE	SEA GRANTS AMOUNT	LEA GRANTS #	LEA GRANTS AMOUNT	TRAINING GRANTS #	TRAINING GRANTS AMOUNT
GRAND TOTALS	$4,624,950	552	$102,126,072	149	$16,071,604
Alabama	-	0	-	0	-
Alaska	40,369	7	1,157,821	3	558,028
Arizona	183,128	26	3,684,607	7	629,768
California	1,234,631	140	26,082,993	23	2,738,901
Colorado	95,695	11	1,594,532	6	206,319
Connecticut	49,103	6	1,117,028	2	206,319
Delaware	10,000	1	200,000		
District of Columbia	10,944	0	-	2	267,001
Florida	93,333	12	1,942,967	6	598,447
Georgia	4,750	2	177,000	0	-
Hawaii	26,137	1	672,770	2	239,260
Idaho	17,153	3	343,163	1	106,651
Illinois	176,370	6	1,792,367	7	683,986
Indiana	11,489	2	264,634	4	316,896
Iowa	-	0	-	0	-
Kansas	5,510	1	100,200	0	-
Kentucky	6,000	1	124,427	0	-
Louisiana	187,566	19	4,457,726	0	-
Maine	13,622	3	232,192	0	-
Maryland	13,960	3	422,745	0	-
Massachusetts	97,543	12	2,204,511	5	350,075
Michigan	110,123	16	2,993,694	3	361,323
Minnesota	15,780	3	454,022	1	113,422

Table 2

Allocation of Funds by State & Number of Projects

Title VII Bilingual Education Projects, 1979-80

STATE	SEA GRANTS AMOUNT	LEA GRANTS #	LEA GRANTS AMOUNT	TRAINING GRANTS #	TRAINING GRANTS AMOUNT
Mississippi	15,636	1	329,141	0	-
Missouri	-	0	-	0	-
Montana	38,255	6	911,010	2	224,693
Nebraska	-	0	-	0	-
New Hampshire	6,697	1	132,441	0	-
New Jersey	134,198	14	2,734,052	11	799,383
New Mexico	123,541	24	3,067,266	6	766,232
New York	902,326	92	16,877,301	21	2,485,721
North Carolina	12,542	2	248,742	0	-
North Dakota	-	0	-	0	-
Ohio	26,480	4	598,623	1	89,467
Oklahoma	28,944	5	624,280	1	91,611
Oregon	33,604	5	865,580	1	118,196
Pennsylvania	46,506	4	640,146	2	189,810
Rhode Island	74,359	8	901,073	2	165,306
South Carolina	-	0	- -	0	-
South Dakota	21,370	4	599,425	0	-
Tennessee	8,750	1	107,250	0	-
Texas	692,794	69	13,579,771	21	2,162,901
Utah	25,475	5	632,323	1	103,162
Vermont	13,748	2	290,321	1	116,506
Virginia	13,700	2	452,047	1	113,025
Washington	73,941	6	1,179,449	1	176,289
West Virginia	-	0	-	0	-

Table 2

Allocation of Funds by State & Number of Projects

Title VII Bilingual Education Projects, 1979-80

STATE	SEA GRANTS AMOUNT	LEA GRANTS #	LEA GRANTS AMOUNT	TRAINING GRANTS #	TRAINING GRANTS AMOUNT
Wisconsin	24,425	5	541,621	1	105.462
Wyoming	8,426	3	299,027	0	-
American Samoa	10,130	1	207,690	0	-
Guam	11,508	1	400,000	1	137,670
Puerto Rico	26,942	3	1,078,652	3	446,445
Trust Territory	25,169	5	470,555	0	-
Virgin Islands	12,014	1	86,000	0	-
Northern Marianas	10,244	1	234,685	0	-

o Approximately 85 percent of the project directors indicated that Spanish-dominant students remain in the bilingual education project once they are able to function in an all English-speaking classroom. Only 5 percent of the project directors indicated that a student is transferred to an all-English-speaking classroom once the student learns English well enough to function effectively in school in English. This finding may suggest that many children were being kept in the program long after they could have been exited. It should be noted, however, that in 1975 and 1976, when the data were collected, Title VII did not have a strong legislative or regulatory requirement to "exit" children from the program. Since then, such requirements have been installed. This initiative will continue with the added objective that no less than 60 per cent of all children participating in each Title VII Basic Program will be of limited English proficiency. This added objective is to assure that the congressional requirement contained in Section 703 (a)(4)(B) of the Bilingual Education Act is met.

The major findings of the " Materials Development Study", conducted in 1976-77 were as follows:

o 2,738 bilingual material items (texts, teacher guides, audio-visual materials, etc.) were identified. Of these, 309 (11.6%) were produced through the Title VII-supported Materials Development Centers or in the process of development; the remainder were commercially produced. Additional locally-developed materials exist, but were not catalogued.

o The language group where most bilingual materials have been produced is Spanish. Yet, users are dissatisfied with many of the materials and the demand remains only partially satisfied. All other languages need materials in all subject areas and grade levels.

o Because of thin markets represented by language groups other than Spanish, few, if any, non-Spanish materials will be commercially produced. Thus, continued support will be required from federal funds if curriculum materials are to be made available.

o For certain other languages (e.g., Greek, Italian, Portuguese, French, Haitian), large quantities of materials have been imported into the U.S.; however, these materials are not linguistically or culturally suited for students residing in the U.S.

In response to the findings of this study, the Office of Education took several steps to make the materials development process more responsive to the needs of the local classrooms. Over the course of the next three years, the Department of Education plans to phase out the Material Development Centers which are now funded under grants in favor of contractual arrangements. Moreover, the Department of Education plans to establish a national system of needs assessments to determine the need for materials in different languages, regions, grade levels, and subjects on a more efficient basis, and to seek ways of better involving private publishers (beginning in FY 1980) on a shared-risk basis to reduce the costs to the federal government associated with curriculum materials development and improve the quality of classroom materials. Finally, the Department of Education is seeking marketing expertise to increase the dissemination capabilities of the Title VII Dissemination Centers.

Between 1974 and 1976, the U.S. Office of Education funded three diffusion of bilingual projects studies and developed four Project Information Packages (PIPs) for bilingual education projects. Three PIPs were for Spanish/English bilingual education projects, with the fourth for French/English projects. A PIP provided an adopting school district with guides, manuals, and other materials describing the instructional and management activities necessary to adopt and implement an exemplary educational project. The objectives of the field test of the study were: (a) to determine the effectiveness of the PIPs in assisting school districts select and implement the bilingual education projects they describe, (b) to determine the effectiveness of the projects implemented via the PIPs in improving student achievement and attitudes, and (c) to identify and analyze implementation problems encountered by school districts. The study involved 19 school districts across the country, each of which received an ESEA Title VII grant to implement one of the four packaged bilingual projects. The principal contribution of the PIP studies in general was to emphasize that a successful diffusion effort requires systematic planning. The general finding from the field tests conducted was that PIP-based systems worked well under some circumstances but not under others. All sites established (or expanded) their bilingual programs and were generally satisfied with the results but, from a diffusion perspective, the PIP-based effort was not very successful. While the diffusion effort provided help in sites in establishing their own programs, in no sense did the system cause exemplary projects to be transferred intact from one district to another. Instead, project features were determined more by local factors, federal and state regulations, outside consultants, and neighboring LEA programs.

Ongoing and Planned Evaluation Studies:

Evaluation of the classroom instruction component of the ESEA Title VII Bilingual Education Program (O):

A 3-year study of the K-6 Basic bilingual education projects funded by Title VII was initiated in fall 1979. Although the instructional characteristics of projects will be examined, the emphasis is on examining the process by which projects are implemented, and the factors which cause them to be implemented in a particular manner. The major objectives of the study are:

o To describe the characteristics of a representative sample of Title VII-funded bilingual education projects and to identify groups of projects which appear to represent distinctly different instructional approaches to the education of children with limited English proficiency.

o To determine the project objectives, and the relationship between skills actually addressed by the projects and those skills necessary to function effectively in an all-English-medium classroom in the United States.

o To determine the degree of program implementation among LEAs, and to identify factors which enhance or impede project implementation.

During the second year of the study, the major activity will be data collection at the local school level which will include both mailed questionnaires and on-site interviews and observations, though only a subsample of projects will be visited.

Development of evaluation and data gathering models for ESEA Title VII bilingual education projects (O.):

This congressionally-mandated project [see ESEA Title VII, sections 731(e)(3) and 731(d)(2)] was begun in summer 1980 for the development of evaluation and data gathering models for ESEA Title VII Basic Projects in Bilingual Education. The major objectives of the 20-month study are:

- To describe the current evaluation and data gathering practices and evaluation needs of ESEA Title VII Basic Projects grantees.
- To review and synthesize the relevant literature on evaluation models applicable to bilingual education projects.
- To develop an exportable product for providing technical assistance to staff of bilingual education projects in conducting a project evaluation consistent with their needs.

Development of entry/exit criteria and associated assessment procedures for bilingual education projects (O.):

In September 1978, the U.S. Office of Education awarded a 2-year contract for the development of entry/exit criteria and associated project assessment procedures for bilingual education projects. The goal of the study was the development of a Student Placement System which would provide technical assistance to Basic Project grantees in: (a) selecting students most in need of project participation, (b) determining when a participating student may successfully be transferred into an all-English-medium classroom, and (c) providing follow-up assistance to transferred students. This study is congressionally-mandated [see ESEA Title VII, section 731(e)(2)].

The Student Placement System is a set of materials for assisting project personnel in designing and implementing an "entry", "exit", and "follow-up" system appropriate for their particular needs, their particular students, and their particular community. The Student Placement System is not a set of achievement tests and is not one particular entry/exit system which should be implemented in all projects. Rather, the Student Placement System is an adaptable set of materials for assisting projects in determining the characteristics of tests most appropriate for their needs; selecting and/or constructing; and using such tests. The Student Placement System includes materials for:

- Conducting a local needs analysis for English-language skill assessment
- Selecting and/or constructing appropriate assessment instruments, and developing procedures for their use
- Developing appropriate crtieria for selecting and transferring students
- Implementing, maintaining, and evaluating the placement system

The major product of this study is titled, "Resources for Developing a Study Placement System for Bilingual Programs". It has been disseminated to all Basic programs grantees and to BESC's and EDAC's. A study is planned to validate the "Language Skills Framework" component of the "Resources".

Study of ESEA Title VII-funded and other teacher training programs in bilingual education (O.):

Initiated in December 1978, this descriptive study of teacher training programs in bilingual education is designed:

- To better understand the nature of IHE programs that train bilingual education teachers, aides, and teacher-trainers
- To determine the degree to which program graduates become involved in bilingual education
- To estimate the number of individuals entering the pool of available bilingual education personnel through these activities

The study will be completed in June 1981.

Sources of Evaluation Data:

1. Horst, D. P. et al. An evaluation of Project Information Packages (PIPs) as used for the diffusion of bilingual projects: Volume I, Summary Report. Mountain View, CA.: RMC Research Corporation, Report No. UR 460, May 1980.

2. Horst, D.P. et al. An evaluation of Project Information Packages (PIPs) as used for the diffusion of bilingual projects: Volume II, Technical discussion and appendices. Mountain View, Ca.: RMC Research Corporation, Report No. UR 460, May 1980.

3. Horst, D.P. et al. An evaluation of Project Information Packages (PIPs) as used for the diffusion of bilingual projects: Volume III, A prototype guide to measuring achievement level and program impact on achievement in bilingual projects. Mountain View, Ca.: RMC Research Corporation, Report No. UR 460, May 1980.

4. Development Associates. A study of the state of bilingual materials development and the transition of materials to the classroom: final report. Arlington, Va.: Development Associates, 1978.

5. Danoff, M. Evaluation of the Impact of ESEA Title VII Spanish/English Bilingual Education Program: Overview of study and findings. Palo Alto, CA: American Institutes for Research, Report No. AIR-48300-3/78-FR VI, 1978.

6. Evaluation of the Impact of ESEA Title VII Spanish/English Bilingual Education Program, Volume I: Study Design and Interim Findings. Palo Alto, CA: American Institutes for Research, Report NO

7. Evaluation of the Impact of ESEA Title VII Spanish/English Bilingual Education Program, Volume II: Project Descriptions. Palo Alto, CA: American Institutes for Research, Report No. AIR-48300-2/77-FR IV, 197.

8. Evaluation of the Impact of ESEA Title VII Spanish/English Bilingual Education Program, Volume III: Year Two Impact Data, Educational Processes, and In-Depth Analyses. Palo Alto, CA: American Institutes for Research, Report No. AIR-48300-1/78-FR V, 1978.

9. Comptroller General of the United States. Bilingual Education: An Unmet Need. Washington, D.C., United States General Accounting Office, 1976.

10. Empirical evidence addressing the effectiveness of bilingual education. Fourth Annual Report, Appendix A, from the National Advisory Council on Bilingual Education, 1978-79.

11. A re-examination of the evaluation of the impact of ESEA Title VII Spanish/English bilingual education program. Washington, D.C.: National Institute of Education, 1979.

12. Office of Education response to "A re-examination of the impact of ESEA Title VII Spanish/English bilingual eductaion program" conducted by the National Institute of Education. Wasington, D.C.: U.S. Office of Education, Office of Evaluation and Dissemination, 1979.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Grants for Safe Schools

Legislation:	Expiration Date:
Title IX of the Elementary and Secondary Education Act of 1965, as ameded by P.L. 95-561, Part D, Sections 941-944.	September 30, 1983

Funding History:	Year:	Authorization:	Appropriation:
	1979	$15,000,000	$ 0
	1980	Such sums as may be necessary	0
	1981	"	0

Program Goals and Objectives:

Section 941 of P.L. 89-10 as amended by P.L. 95-561 states: "The purpose of this part is to provide financial assistance to aid local educational agencies throughout the Nation meet educational needs incident to providing security of children, employees, and facilities in elementary and secondary education schools by reducing and preventing crimes against them and to encourage the reporting of serious crimes committed in schools to local law enforcement agencies."

Program Operations:

In the event funds are ever appropriated, up to 15 local education agencies will be funded for up to five years each according to funding criteria set forth in the legislation (Section 943, P.L. 95-561). Briefly, the funding criteria are based on severity and incidence of crime in the schools and the inability of LEAs to prevent such crimes. The purpose is to implement a plan to reduce crime and increase the safety and security of students, employees, and facilities of elementary and secondary schools. Funding will be available to hire professional staff especially trained in crime control, to enhance crime reporting, and for minor alterations of school plants to reduce susceptibility to crime or vandalism.

Program Scope:

The program has never been operational and current plans are to utilize the general funding criteria (currently being proposed) provided through the Education Division General Administrative Regulations (EDGAR) for grantee selection of programs that do not have specific regulations.

Program Effectiveness and Progress:

Not applicable.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

Violent Schools - Safe Schools, The Safe School Study Report to the Congress. National Institutes of Education, Washington, D.C.: January 1978.

Disruption in Six Hundred Schools. The social ecology of personal victimization in the nation's public schools. Report No. 289, Center for Social Organization of Schools, Johns Hopkins University, Baltimore, Maryland: November 1979.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Training and Advisory Services (Civil Rights Act of 1964, Title IV)

Legislation:	Expiration Date:
Title IV of the Civil Rights Act of 1964 (P.L. 88-352), as amended by the Education Amendments of 1972 (P.L. 92-318).	Indefinite

Funding History:

Year:	Authorization:	Appropriation:
1968	indefinite	$ 8,500,000
1969		9,250,000
1970		17,000,000
1971		16,000,000
1972		14,000,000
1973		21,700,000
1974		21,700,000
1975		26,700,000
1976		26,375,000
Transition Quarter		325,000
1977		34,700,000
1978		34,700,000
1979		41,350,000
1980		45,675,000
1981		45,675,000

Program Goals and Objectives:

Title IV is designed to provide training and technical assistance to school personnel related to problems incident to school desegregation with respect to race, color, religion, sex, and national origin. Technical assistance is authorized "in the preparation, adoption, and implementation of plans for the desegregation of public schools." Technical assistance includes, among other activities, making information available regarding "effective methods of coping with special educational problems occasioned by desegregation." The law also provides for training of school personnel "to deal effectively with special educational problems occasioned by desegregation," and for grants to school boards for inservice training of school personnel and the employment of specialists in connection with desegregation. All of the above quotes are from the legislation.

There are eleven subprograms under the Title IV program. Desegregation Assistance Centers (DACs) provide technical assistance and training services to local school districts within designated service areas. Separate DAC awards are made in the areas of race, sex, and national origin. State Educational Agencies (SEAs) are an alternative source of desegregation services. There are separate awards to SEAs in the areas of race, sex, and national origin.

There are two types of Training Institutes (TIs), one for sex desegregation and one for race desegregation. TIs conduct only training and do not provide technical assistance services. Finally, there are three types of direct awards to Local Education Agencies (LEAs) to hire desegregation advisory specialists and conduct related training. These LEA awards are made for race, sex, and national origin desegregation purposes. In summary there are eleven Title IV subprograms: three DAC, three SEA, two TI and three direct LEA awards.

Program Operation:

Title IV is a large discretionary grant program. Most DAC awards are received by institutions of higher education although any public agency (except an SEA or LEA) or private, nonprofit organization is eligible. Only institutions of higher education are eligible for TI awards. Only SEAs and school boards are eligible for SEA and direct LEA awards, respectively.

Applicants send proposals to the U.S. Department of Educaton (ED). Proposals are due at a time announced in the Federal Register except for the discretionary awards to LEAs for race and national origin desegregation, for which applications may be received and awards made at any time. After review by ED staff, panelists assign each application a total numerical score (consisting of points for specific criteria that are added to produce a total score). Within each category, awards are made from the highest score down to a minimum acceptable score of 60 percent until funds are exhausted (except for DACs, where the applicant for each geographic service area with the highest score is selected).

Program Scope:

The following table presents data on Fiscal Year 1979 Title IV awards.

Category	Total Applications (1)	Total Awards (2)	Percent of Applicants Funded (3)	Amount Awarded (thousands) (4)	Percent of Total Funds (5)	Average Award (thousands) (6)
Race						
1. DAC	15	15	100%	$ 8,429	22%	$ 562
2. SEA	33	29	88	4,521	12	156
3. TI	22	12	55	3,285	9	274
4. LEA	53	[illegible]	43	2,302	6	100
Sex						
5. DAC	14	10	71	3,893	10	389
6. SEA	35	31	89	3,687	10	119
7. TI	36	27	75	3,761	10	139
8. LEA	39	25	64	1,178	3	47
National Orgin						
9. DAC	9	9	100	3,726	10	414
10. SEA	25	23	92	2,513	7	109
11. LEA	11	6	55	565	1	94
Total	292	210	72	$37,861*	100%	$ 180

* Totals do not add exactly due to roundoff error.

The first three columns show there was substantial competition nationally for most Title IV awards, especially the LEA awards for Race and for National Origin and Race TIs.

The awards of Title IV funds in FY 1979 were as follows: race, 49%; sex, 33%; and national origin, 18%. Among the types of service delivery systems, the most money was targeted to DAC awards (42%), followed by SEA (29%), TI (19%), and LEA (10%) awards. 1/

The highest average awards (column 6) are for the multipurpose, regional DACs; the smallest are for the LEA awards.

Program Effectiveness and Progress:

Title IV regulations were substantially revised in 1978 to incorporate many recommendations from a 1976 evaluation of the race desegregation programs by the Rand Corporation, Title IV of the Civil Rights Act of 1964: A Review of Program Operations. That evaluation found that Title IV needed more Federal direction to focus on needs directly related to desegregation. Recommendations from three other studies were also considered in revising the regulations.

Some of the major changes to increase the desegregation identity of Title IV were:

- SEAs providing race desegregation assistance must give priority to school districts in the first three years of implementing desegregation plans.
- Race DACs (formerly called "general assistance centers"), must give priority to helping school districts develop desegregation plans and to assisting districts in the first three years of implementing these plans.
- Race desegregation training institutes are permitted to provide training only to school districts which adopted desegregation plans within the two years preceding the beginning of the training.
- Activities related to the provision of compensatory education or the development of basic skills may not be funded under Title IV.

Another major feature of the 1978 regulations--not related to the Title IV evaluation study--is that Title IV aid may only be provided to to school districts remedying conditions of racial separation that are the the result of State or local law or official action. The statute prohibits Title IV assistance for effort to overcome racial imbalance.

1/ These percentages are obtained from column 5 by adding the percentages within the appropriate categories.

The Rand study was primarily based upon an analysis of mail questionnaires from 140 Title IV projects and site visits conducted at 40 projects and 74 school districts served by these Title IV race desegregation projects.

Rand found that DACs often undertake race desegregation activities such as developing new instructional techniques, training in the use of new methods and materials, developing curricula, helping districts assess needs and developing techniques for school-community interaction. More than any of the other types of Title IV projects, DACs have to function as organizations capable of delivering a wide range of training and technical assistance services to a large number of school districts. Given these complexities, it is not surprising that the statistical analysis found that several organizational characteristics were strongly related to the effectiveness [2] of DACs but not the other types of Title IV projects. Favorable DAC organizational characteristics included having a well-specified plan of project organization containing explicit schedules and milestones and a clear description of staff responsibilities.

The more effective DACs visited had a clear conception of the race desegregation assistance process and were selective in choosing districts where they could anticipate a favorable impact in contrast with other DACs which attempted to provide substantial services to all districts requesting assistance. Also, the evaluation found that the more effective DACs were more active in conducting needs assessments. These DACs tended to work more closely with their client districts and to conduct the needs assessment activity as part of a plan for uncovering desegregation-related needs.

The 1978 regulations assist DACs in targeting rather than diffusing services, as discussed earlier in this section. The new regulations do not substantively increase the weight give to DAC organizational characteristics in rating applications from DACs.

SEA Title IV race desegregation units develop and disseminate materials, interpret Federal desegregation guidelines, and obtain statistical information to assist in identifying desegregation problems. SEAs also conduct the training and technical assistance activities related to information dissemination (including minority job recruitment). More complex SEA technical assistance activities were effective only in States where there is a commitment by the State to school desegregation both in terms of a clear State policy and specific goals and objectives for its enforcement. Two of the thirteen Title IV SEA units visited had such an operational commitment to desegregation and those were judged as the most effective by all measures of effectiveness that were used.

2/ Project effectiveness was measured with a series of rating scales completed by interviewers after they conducted site visits at the project and school districts served by the project. Ratings were made of the effectiveness or impact of a project on the policies, programs, personnel, institutional structure, and training aspects of the districts served by the project. Effectiveness ratings were correlated with other characteristics of projects (in this case, organizational characteristics) separately for DACs and the other categories of Title IV projects.

The 1978 regulations provide substantial points in the criteria for awards for the SEA commitment to desegregation and require a minimum of 60 out of 100 total points for funding.

Training Institutes (TIs) for race desegregation tend to provide specialized activities relating to the training of school personnel. TIs essentially structure themselves to meet specific district needs. TIs can be effective if the district has a favorable desegregation environment but have no leverage and are not effective in less amenable districts. As noted at the start of this section, the new regulations direct TI services only to districts recently adopting desegregation plans and require that training be related to desegregation.

The evaluation found that the success of the direct grants to LEAs for race desegregation was dependent upon a favorable desegregation environment within the district. Without such a commitment the advisory specialist lacked influence to deal with desegregation issues.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

1. Crocker, S., et al. Title IV of the Civil Rights Act of 1964: A Review of Program Operations (2 volumes). Santa Monica, California: Rand Corporation, 1976.
2. Kings, N.J., Thomas, M.A., & Graubard, M.H. Title IV of the Civil Rights Act of 1964: Expansion of Program Responsibilities. Santa Monica, California: Rand Corporation, 1977.
3. Mogin, B. The State Role in School Desegregation. Menlo Park, California: Stanford Research Institute, 1977.
4. Title IV and School Desegregation: A Study of a Neglected Federal Program. Washington, D.C.: U.S. Commission on Civil Rights, 1973.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Follow Through

Legislation:

Economic Opportunity Act of 1964
as amended by P.L. 95-568.

Expiration Date:

October 1981

Funding History:	Year:	Authorization: 1/	Appropriation:
	1968		$15,000,000
	1969		32,000,000
	1970		70,300,000
	1971	70,000,000	69,000,000
	1972	70,000,000	63,060,000
	1973	70,000,000	57,700,000
	1974	70,000,000	53,000,000
	1975	69,000,000	55,500,000
	1976	60,000,000	59,000,000
	1977	60,000,000	59,000,000
	1978	60,000,000	59,000,000
	1979	70,000,000	59,000,000
	1980	85,000,000	44,400,000
	1981	85,000,000	44,250,000

Program Goals and Objectives:

According to the authorizing legislation, the Follow Through Program provides "financial assistance to local educational agencies, combinations of such agencies and any other public or appropriate nonprofit private agencies, organizations, and institutions for the purpose of carrying out Follow Through programs focused primarily on children from low-income families in kindergarten and primary grades, including such children enrolled in private nonprofit elementary schools, who were previously enrolled in Headstart or similar programs." Further, the legislation provides that projects must provide comprehensive services which, in the judgment of the Secretary, will aid the continued development of the children.

Follow Through is defined in its regulations as "an experimental community services program designed to assist, in a research setting, the overall development of children enrolled in kindergarten through third grade from low-income families, and to amplify the educational gains made by such children in Headstart and other similar quality preschool programs

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1/ An authorization level was not specified prior to FY 71.

by: (a) implementing innovative educational approaches, (b) providing comprehensive services and special activities in the areas of physical and mental health, social services, nutrition, and such other areas which supplement basic services already available within the school system, (c) conducting the program in a context of effective community service and parental involvement, and (d) providing documentation on those models which are found to be effective."

Comprehensive services and parental involvement are required in all projects. The experimental feature, of the program has been the evaluation of a variety of educational models, sponsored by university or research institutions that have designed approaches to early childhood education. These sponsors are responsible for delivering and installing their models at local sites, and providing for continuous technical assistance, teacher training, guidance, and quality control. The focus of the experiment was upon the relative effectiveness of the alternative educational models. The overall goal was to add to our knowledge about what works and what does not work for children from low-income families.

An evaluation of the most frequently occurring models was completed in 1977 (see Program Effectiveness and Progress section for a summary of results). Since that time, HEW has been considering what direction the program should take. A recently completed program review (New Directions for Follow Through, October 1979) recommended that the program should have two objectives: to provide effective services to school children and to produce knowledge about which services are effective. The majority of local Follow Through projects would be managed to provide effective services but a small proportion (say 20%) would be managed to produce knowledge about what services are effective. The proposed shift from an experimental program to one in which a major goal is provision of effective services has broad implications. For further details about the redirection of Follow Through, see the section on Program Effectiveness and Progress.

Program Operations:

The major portion, approximately 81 percent, of the Follow Through FY 79 appropriation was used for grants to 153 local educational agency projects which include an educational component and a variety of non-instructional services to children.

The next largest portion, approximately 10 percent, of the Follow Through appropriation was distributed as grants to 19 model sponsors.

Approximately five percent of the Follow Through appropriation was spent to fund expanded demonstration activities in twenty-one sites (know as resource centers) judged exemplary by the OE/NIE Joint Dissemination Review Panel.

About one per cent of the Follow Through appropriation was spent on evaluation contracts. The remaining three percent of the Follow Through monies was used for program-related activities such as supplementary training of para-professionals, grants to states to provide technical assistance to local school districts operating Follow Through projects, and for hiring subject specialists to provide technical assistance to Follow Through projects.

Program Scope:

In FY 1979, more than 70,500 children in kindergarten through third grade participated in Follow Through at more than 600 elementary schools across the country. The program emphasizes community and parental involvement and encourages the focusing of available local, State, private, and Federal resources on the needs of Follow Through children. The Follow Through program is quite broad in scope and encompasses instructional and non-instructional services. The most recent detailed cost data, collected in 1976, shows that on the average, from federal sources, about $800 more per pupil was spent to educate Follow Through children than local non-Follow Through children. The largest portion (63%) went for salaries of LEA staff such as teacher aides, project directors, and teachers. Of the remainder, 19% was spent on providing comprehensive services, 13% on model sponsors, and 5% on facilities and materials.

Program Effectiveness and Progress:

One measure of the ultimate effectiveness of Follow Through is the degree to which it has fostered the development of successful approaches to the education of low income children. Information pertaining to this issue is reported below in two categories: (1) results of national longitudinal evaluation studies; and (2) approval of local Follow Through projects for national dissemination by the USOE/NIE Joint Dissemination Review Panel (JDRP). Also reported are the results of planning studies conducted by USOE in preparation for possible future Follow Through experiments and studies, and on-going evaluation activities.

National Longitudinal Evaluation Studies:

The goal of the Follow Through national evaluation was to identify effective educational approaches for low income children in kindergarten through third grade. The national evaluation focused on assessing outcomes for children in 16 sponsored models, plus some unsponsored sites. The performance of Follow Through children, grouped at the site level, was compared to that of children from similar socio-economic backgrounds who did not participate in Follow Through. Because the comparison children were chosen after the program began, in some sites they were not very well matched to the Follow Through participants. Interpretation of study results was further complicated by the fact that comparison children also often received supplementary services similar to but in lesser amounts than Follow Through children. The effects of the models were assessed over three cohorts (entering groups) of children on a variety of measures, including reading, mathematics, spelling, language arts, abstract reasoning, and self-esteem. The most recent data from the national evaluation were gathered in Spring, 1975.

Key findings from the evaluation reports completed in 1977 are as follows:

- Student achievement scores varied substantially among the sites using a particular model; overall averages across sites using a particular model varied little in comparison.
- Several models that emphasized basic skills showed greater effectiveness in helping children achieve these skills; children in these models also tended to have higher scores on affective measures, such as an index of self-esteem.
- Many models showed no greater effectiveness overall than the programs for comparison children, who tended to have received other compensatory education, such as Title I services.
- The cost per child in Follow Through is high relative to other federal compensatory education programs.
- There was large across-site variability in price-adjusted costs of the same classroom model.

OE/NIE Joint Dissemination Review Panel Approvals:

In late summer 1977, 36 Follow Through projects were presented to the OE/NIE Joint Dissemination Review Panel. Evidence of effectiveness for each project was reviewed by the panel and 21 projects were judged exemplarly, i.e., these 21 projects were judged to have presented persuasive evidence of program effectiveness and to be suitable for nationwide dissemination. These 21 projects represented about 14% of all Follow Through projects. Results of the JDRP and the national longitudinal evaluation studies show only a weak positive correspondence. This may indicate that project effectiveness changes over time and that frequent evaluation is necessary if evaluation results are to be used in managing the program.

Planning Studies:

In 1979, HEW completed an exploratory evaluation of the Follow Through program and in early 1980 planning studies for new research activities in Follow Through were completed. In the exploratory evaluation, HEW reconsidered the purpose and operation of the program and concluded that it should shift from a primary emphasis of knowledge production about the early childhood education of low income children to a mix of knowledge production and delivery of effective services to children, with emphasis on the latter. To accomplish this shift, new program regulations will have to be published. Tentatively, the following important changes would have to be made: 1979 school district grantees would not necessarily be refunded; those designated as "service projects" could choose to dissociate from sponsors; any SEA, LEA, current sponsor, or other organization would be eligible to participate in the knowledge production portion of the program; knowledge production projects would not necessarily be associated with sponsors; SEAs would no longer be funded to provide technical assistance and dissemination activities; and resource centers would be redirected.

Several planning studies were completed in early 1980. These studies focused on: (1) identifying potential new instructional models; (2) examining the possibilities for using existing data bases to study later or long-range effects of participation in Follow Through; (3) the combining of instructional practices from more than one FT model; (4) implementation of models in new sites; (5) how new research and evaluation examining instructional activities in FT could be conducted; and (6) an examination of resource center activities. As a result of these studies, promising potential new models have been identified, data for a study of long-range effects of several models in one site is being compiled, a joint model combining two current FT models has been constructed, insights into how school districts implement models and associated problems are being shared with program operation personnel, a variety of potential approaches for estimating Follow Through effectiveness has been produced, and a description and analysis of resource center activities has been disseminated.

On-going Evaluation Activities:

Follow Through is one of four programs being examined in the area of parent involvement; results from the study will be published in Fall 1980. Follow Through is also in the process of developing and testing a system for monitoring the performance (efficiency, effectiveness, and responsiveness) of service projects and in the process of developing plans for evaluation of pilot projects.

Sources of Evaluation Data:

The Follow Through Planned Variation Experiment

Volume I. A Synthesis of Findings. Washington, D.C.: DHEW USOE, in preparation.

Volume II-A. National Evaluation: Patterns of Effects. Cambridge: Abt Associates, Inc., 1977.

Volume II-B. National Evaluation: Detailed Effects. Cambridge: Abt Associates, Inc., 1977.

Volume II-C. National Evaluation: Detailed Effects. Cambridge: Abt Associates, Inc., 1977.

Volume II-C. Appendix. Cambridge: Abt Associates, Inc., 1977.

Volume III. Sponsor Evaluation: Patterns of Effects. Washington, D.C.: Follow Through Sponsors, in prepration.

Volume IV. Cost Analysis. Bethesda, Maryland: RMC Research Corporation, 1977.

Volume V. A Technical History of the National Follow Through Evaluation. Cambridge: The Huron Institute, 1977.

Volume V. Appendix: Analysis of Interim Follow Through Reports. Cambridge: The Huron Institute, 1977.

Follow Through Exploratory Evaluation. Washington, D.C.: HEW Assistant Secretary of Planning and Evaluation, in draft, July 12, 1979.

New Directions for Follow Through. Washington, D.C.: HEW Assistant Secretary for Planning and Evaluation, in draft, October 11, 1979.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Assistance in Federally Affected Areas (SAFA):
Maintenance and Operations

Legislation:

PL 81-874, as amended
by PL 95-561.

Expiration Date:

September 30, 1983 1/

Funding History:	Year:	Authorization:	Appropriation:
	1962	247,000,000	247,000,000
	1963	282,322,000	282,322,000
	1964	320,670,000	320,670,000
	1965	359,450,000	322,000,000
	1966	388,000,000	388,000,000
	1967	433,400,000	416,200,000
	1968	461,500,000	486,355,000
	1969	590,950,000	505,900,000
	1970	$1,150,000,000	505,400,000
	1971	935,295,000	536,068,000
	1972	1,024,000,000	592,580,000
	1973	1,025,000,000	635,495,000
	1974	989,391,000	574,416,000
	1975	980,000,000	636,016,000
	1976	995,000,000	684,000,000
	Transition Quarter		70,000,000 2/
	1977	1,090,192,000 3/	768,000,000
	1978	1,135,000,000 3/	775,000,000 4/
	1979	1,309,166,000 3/	786,100,000 4/
	1980	1,428,933,000 3/	772,000,000 4/
	1981	1,532,900,000	790,000,000

1/ Provisions pertaining to "A" category pupils and children attending schools on Federal installations are permanent.

2/ Includes $15 million in Transition Quarter funds for fiscal year 1977 start up costs.

3/ Does not include disaster provisions.

4/ Includes appropriation for major disaster payments.

Program Goals and Objectives:

PL 81-874 provides assistance to local school districts for current operating costs of educating children in areas where enrollments and local revenues are affected by federal activities. The purpose of the legislation is to minimize the fiscal inequities caused by both the presence of tax-exempt Federal lands and the burden of providing public school education to children who reside on Federal property or have a parent who is either employed on Federal property or a member of one of the uniformed services (Section 3). The law also provides for the full cost of educating children residing on Federal property when State law prohibits the expenditure of State funds for the schooling of such children or where no local education agency is able to provide suitable free public education (Section 6). Indian Lands and low-rent housing are included as eligible Federal property under this law. Assistance for major or pinpoint disasters is also provided to schools through the program.

P.L. 874 is the closest approximation to general aid from the Federal government available to eligible school districts. In general, SAFA funds become part of the general operating accounts of LEAs. However, Impact Aid payments for handicapped children of military personnel and handicapped children residing on Indian Lands must be used for special programs to meet the needs of these children.

Program Operations:

Payments are made directly to local education agencies (or to Federal agencies where they are operating schools). An entitlement is the product of the number of federally connected pupils and a percentage of an agency's local contribution rate (LCR, the agency's share of per pupil costs) and is intended to compensate for the burden imposed by the various types of federally connected children at a rate which approximates locally raised educational costs. The local contribution rate may be based either on comparable districts' per pupil costs derived from local revenues, or alternatively, on the greater of one-half the State or national average per pupil cost.

The percentage of the local contribution rate to which an agency is entitled varies for over a dozen subcategories of federally connected children within the broad "A" (children whose parents live and work on Federal property) and "B" (children whose parents live or work on Federal property but not both) classifications. This reflects the notion that different types of federally connected children impose differing degrees of burden on the districts. The degree of burden is assumed to vary with the location of the child's residence and with the location of the parent's place of work.

Applications for payments are submitted to the Secretary of Education through the State Education Agency which certifies that information on the Local Education Agency's application is accurate insofar as records in the State office are concerned.

Program Scope:

In 1980, awards were made to approximately 4,300 school districts containing 2,375,000 federally connected school children. included were payments to other

Federal agencies maintaining schools for 40,000 pupils. Since the funds are available for the general operating accounts of school districts, some or all of the 24 million children enrolled in SAFA-aided school districts could conceivably benefit from the aid provided by the program. Also, in FY 80, funds were provided for disaster assistance in the amount of 32 million dollars. On the average, federal payments represented about 2 percent of the total operating costs of eligible districts in 1980, with a range of less than 1 percent to more than 90 percent.

Program Effectiveness and Progress:

A number of evaluation studies of the program have been conducted since 1965. The most recent such study was conducted by the Department of Health, Education and Welfare in 1978. [6]

The principal findings of this study are:

- School districts may be overcompensated for the Federal burden imposed to the extent that:
  - Children such as out-of-county "Bs" and public housing children are included in the count of federally connected children.
  - Local contribution rates overestimate what local educational costs would have been in the absence of Federal impact.
- Program Funds are not equitably distributed in terms of district wealth and need because:
  - Twenty percent of program funds go to impacted districts found in the highest quartile of their State's distribution of per pupil property wealth. Furthermore, these districts could offset loss of impact aid funds by increasing local revenues by about 1.7 percent.
  - Sixty percent of Impact Aid districts have fewer than ten percent Federally connected children yet they receive twenty percent of all Impact Aid dollars.
- The program fails to work well with State equalization programs to encourage and aid States to equalize per pupil expenditures among their districts because:
  - It provides coordination of Impact Aid payments with State equalization plans only for those States which pass strict equalization tests.
  - For States which do not pass one of the equalization tests it provides aid in a disequalizing manner because the State is prohibited from offsetting Impact Aid payments to wealthy Impact Aid districts.

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[6] For the complete reference see, "Sources of Evaluation Data," below.

The findings of a 1980 Program Audit[7] include:

- Overcompensation for federal burden occurs when:
  - Districts using the comparable district method are allowed to include local expenses financed by local property taxes equalized by the State in their computation of aggregate current expenses used to compute their LCRs.
  - Payments are made under Section 2 to districts experiencing a property loss due to federal activity when that loss is compensated for under the State equalization program.
- Undercompensation for federal burden may occur when:
  - Heavily impacted districts incurring a tax effort at least equal to the State average, do not achieve the State average of per pupil expenditures when impact aid payments are counted.

Recommendations of the Program Audit include:

- With regard to Section 6 schools:
  - that procedures be implemented by which the Secretary of Education may ensure that funds are effectively spent in these schools.
  - that the school boards of such schools be given the same powers and duties as those of elected school boards throughout the Nation. (Policy implementation, however, would require the concurrence of the military base Commander.)
  - that the program director seek the closing of those schools no longer needed.
- With regard to LEAs serving Indian children, the Audit recommended:
  - that technical assistance in the form of a booklet and workshops be provided to these LEAs to assist them in meeting their responsibility of developing policies and procedures to assure adequate participation of the parents of these children in the education of their children and to assure the equal participation of the children in the school program.

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[7] For complete citation see "Sources of Evaluation Data," below.

- o With regard to the system of management of grant programs, the Audit recommended:
  - oo changes in the method by which preliminary payments are processed in order to meet the Congressionally mandated deadline for making such payments to LEAs.
  - oo changes in the method of processing applications under Section 3 in order that these applications will be processed and approved within two weeks of the closing date for applications.
  - oo increasing the number of program officers in the Field Operations Branch in order to recover anticipated overclaims made by LEAs.

The findings of the DHEW study and the options which it explored as ways of remedying program ineffectiveness were largely ignored by Congress in the 1978 program reauthorization. The Program Audit, on the otherhand, recommended program changes which do not require a change in the Act. Of the twenty-one policy issues which the audit identified, eleven were resolved internally. Of the remaining issues the Assistant Secretary for Elementary and Secondary Education has requested that the program office implement the recommendations made on three of these issues. Therefore, the recommendations on seven of the twenty-one issues have not been pursued. It is expected that those Audit recommendations which are implemented will provide a more equitable allocation of program funds among impacted LEAs and will lead to a timely processing of applications.

Ongoing and Planned Evaluation Studies:

Ongoing: Section 1015 of the Education Amendments of 1978 (P.L. 95-561) requires the President to appoint a Commission on the Review of the Federal Impact Aid Program consisting of ten members. The Commission is charged with reviewing and evaluating the administration and operation of the Impact Aid program including --

(1) the equity of the present funding structure under Public Law 874,

(2) the relative benefit of the assistance for impact aid under Public Law 874 in view of the increasing costs of the program and the limitation on the availability of funds, and

(3) the ways in which districts of local educational agencies which are Federally impacted can best be assisted in meeting their educational needs.

The ten member Commission was appointed by the President on August 15, 1979. A plan of study was adopted by the Commission members on December 14, 1979. Between December 1979 and May 1980, the Commission conducted hearings throughout the Nation, reviewed testimony and gathered evidence on the operations of the program. The Commission plans to conduct research in the three central areas of school finance, the economic impact of federal activity, and the legal and historical background of the premises upon which the Act is based. The Commission also plans to conduct a large number of special studies for the purpose of developing program recommendations. A final report is due to Congress in September, 1981.

On April 29, 1980 the Commission submitted an interim report to the President and Congress. This report was generally supportive of the program as it now stands.

Planned: Two studies of the maintenance and operations portion of the program are under consideration. deals with equity issues associated with the program. It proposes to analyze program entitlements from a revenue sharing and ability-to-pay perspective. Both reauthorization and appropriations issues will be addressed. The second study will examine several alternative methods for determining impact aid entitlements which were proposed in the last reauthorization. The study would provide information on the desirability, the feasibility and the costs of funding the program in whole or in part under alternative methods.

Sources of Evaluation Data:

Current

1) L.L. Brown III, A.L. Ginsburg, and M. Jacobs, Office of the Assistant Secretary for Planning and Evaluation, Education Planning Staff, U.S. Department of Health, Education and Welfare, Impact Aid Two Years Later, March 15, 1978.

2) The Commission on the Review of the Impact Aid Program, Interim Report, April 29, 1980.

3) Dr. William Rock, et. al., DSAFA Program Audit Spring, 1980. (Internal Document).

Other

4) Stanford Research Institute. Effects of Federal Installation Phase-outs Upon School Districts. Menlo Park, California: Stanford Reserch Institute, 1965.

5) Battelle Memorial Institute. School Assistance in Federally Affected Areas: Study of Public Laws 81-874 and 81-815, published by Committee on Education and Labor, H.R. 91st Congress, 2nd Session, GPO, 1970.

6) Commissioner of Education, U.S. Departent of Health, Education and Welfare, Administration of Public Laws 81-874 and 81-815. GPO, 1977.

7) Comptroller General of the United States, Assessment of the Impact Aid Program. Report to the House Committee on Education and Labor, October 15, 1976.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Assistance in Federally Affected Areas (SAFA):
Construction

Legislation:	**Expiration Date:**
Public Law 81-815 as amended by Public Law 95-561.	June 30, 1983 1/

Funding History:	**Year:**	**Authorization:**	**Appropriation:**
	1962	61,942,000	61,942,000
	1963	63,686,000	63,686,000
	1964	60,346,000	23,740,000
	1965	58,400,000	58,400,000
	1966	61,080,000	50,078,000
	1967	52,937,000	52,937,000
	1968	80,000,000	22,937,000
	1969	80,000,000	14,745,000
	1970	80,407,000	15,167,000
	1971	83,000,000	15,300,000
	1972	91,250,000	19,300,000
	1973	72,000,000	25,910,000
	1974	72,000,000	19,000,000
	1975	72,000,000	20,000,000
	1976	70,000,000	20,000,000
	1977	70,000,000	25,000,000
	1978	70,000,000	30,000,000
	1979	70,000,000	30,000,000
	1980	indefinite	33,000,000
	1981	indefinite	80,000,000

Program Goals and Objectives:

Public Law 81-815 is designed to provide local education agencies, enrolling children whose parents live or work on Federal property, with financial aid for school construction under specified conditions: for construction of urgently needed minimum school facilities in school districts which have had substantial increases in school membership as a result of new or increased Federal activities (Section 5); where provision of the non-Federal share of construction imposes a financial hardship (Section 8); and for the construction of temporary school facilities where a Federal impact is expected to be temporary (Section 9).

1/ Provisions pertaining to Section 5(a)(1) pupils and Sections 10 and 14 are permanent.

The law also directs the Secretary to make arrangements for providing minimum school facilities for children living on Federal property if no tax revenues of the State or its political subdivisions may be spent for their education or if the Secretary finds that no local education agency is able to provide a suitable free public education (Section 10). Assistance is authorized for construction of minimum school facilities in local education agencies serving children residing on Indian lands by Sections 14(a) and 14(b); and Section 14(c) authorizes assistance to financially distressed local education agencies which have substantial Federal lands and substantial numbers of unhoused pupils. Emergency aid is available to LEAs for the reconstruction of school facilities destroyed or seriously damaged in school districts located in declared major disaster areas and in certain districts affected by a pinpoint disaster (Section 16).

Program Operations:

All grants are made to qualified school districts on the basis of applications. The amount of payment to a local school district under Section 5 of the Act depends upon the rate of payment associated with each category of federally connected child. Payment rates for children vary according to the extent to which the child's household is presumed to provide tax revenues to support education. For example, the highest rate, 100%, is associated with children who reside on Federal property and have a parent in one of the uniformed services. In this case it is presumed that the child's household pays neither property nor income taxes and may not pay much in State sales taxes. The lowest rate, 40%, applies to a category of households which do not live on Federal property and hence are expected to pay some property, sales, and income taxes.

For other Sections of the law, full costs of construction are authorized, limited to actual cost of providing minimum school facilities for children who would otherwise be without such facilities.

Because appropriations for Public Law 81-815 have been substantially below the amounts required for funding of all qualified applicants, the basic law, since Fiscal Year 1967, has placed priorities on the Sections to be funded. Section 16, disaster assistance, receives top priority. The law requires that Section 16 be funded from available funds as the need arises with payments under other sections then covered by supplemental appropriations requests. Second priority Sections, according to the authorizing legislation, are Sections 9, 10, 14(a) and 14(b). The remaining Sections (5, 8, and 14(c)) are to receive funds only after all applications in the other sections are funded. However, beginning with fiscal year 1973, appropriations act language went beyond the priorities set by the authorization act and appropriated specific amounts for specific sections.

The law requires that eligible applications be ranked within each Section on the basis of relative urgency of need, and that available funds be assigned on this basis. The ranking by relative urgency of need is based on the percentage of federally connected children eligible for payment in a school district and the percentage of "unhoused" pupils in the district. "Unhoused" pupils are those in membership in the schools of a district over and above normal capacity of available and usable minimum school facilities.

In recent years, appropriation language has directed available funds towards the most urgent needs for school facilities. Funds have been directed toward high priority projects under Section 9 (facilities needed because of a temporary influx of Federally-connected children), Section 10 (schools on Federal property), and Section 14 (schools for children residing on Indian lands). Section 5 has, in general, received the balance of funds appropriated over and above funds appropriated directly for Sections 9, 10, and 14.

The legislative allocations in recent years are as follows:

(amounts in millions of dollars)

Section	1978	1979	1980	1981 (conference recommendation)
5	4.0	1.0	3.0	3.0
9	5.0	---	---	---
10	10.5	13.0	13.0	42.0
14	10.5	16.0	17.0	35.0

Program Scope:

Since 1951 Public Law 815 has provided more than $1.8 billion for school construction to house more than 2.8 million pupils. Only the most urgent projects at the top of the priority ratings for the different sections are funded under current appropriation levels. Substantial increases have been provided for Sections 10 and 14, although the backlog of eligible applicants continues to increase. In addition, more than $36 million has been obligated to assist in reconstruction of school facilities destroyed or seriously damaged by major disaster since such assistance was authorized in 1966.

In FY 80, under Section 5, slightly more than $2.9 million was reserved for 11 projects involving new construction in 9 school districts, and $5.7 million of DoD funds were transfered to the program to finance the upgrading of facilities in seven school districts in the State of Washington impacted by the Trident Missile Project. Under Section 14, a total of $5.7 million has been committed to three new projects and three other projects begun in previous years. The remaining funds may be used to fund an additional new project. Finally, under Section 10, $5.4 million has been reserved for 35 projects at 32 installations for the purpose of upgrading the life/safety conditions at these installations. Remaining funds may be spent to fund a new project.

Program Effectiveness and Progress:

A primary concern of the program is the mounting backlog of eligible applications which has accumulated since 1967, the last year for which appropriations were adequate to fund current needs. By the end of fiscal 1979 the backlog was estimated to involve 454 project applications requiring $591.3 million to fund. The backlog, at the end of fiscal 1979, is broken down by section as follows:

	Amount[3]	Number of Projects
Section 5	$98,000,000	246
Section 10	264,000,000	110
Section 14	$229,300,000	98

The ability of the program to determine the construction needs based on past applications is compromised due to:

a) districts not filing an application because of the small chance of receiving a grant;

b) districts obtaining funds from other sources to meet their construction needs;

c) the need to adjust past estimates of construction costs for inflation.

Recognizing that the above factors have worked against the program's ability to ascertain construction needs, program administrators conducted an in-depth study of the construction needs of Section 10 schools. Completed in early 1978, the study found that a total of $200 million (measured in 1976 dollars) was needed to:

a) upgrade existing Section 10 school facilities to meet life safety and handicapped access standards ($10.5 million);

b) replace facilities where upgrading could not meet life safety and handicapped access standards ($60 million);

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[3] Estimates are subject to confirmation of current needs as well as increases in costs for construction and increases to meet current school housing standards.

c) adequately house the pupils enrolled in these schools ($128.5 million).

The study's findings have been used as a basis for making budgeting recommendations to Congress.

In 1979, the U.S. Office of Education conducted site visits to seven LEAs (who had applied under Section 14) in order to document life/safety hazardous conditions in schools on or near Indian reservations. Three of the seven districts were found to have severe life/safety hazardous conditions in one or more of their schools. Based, in part, on this study's findings and that of a Program Auditor, the Program Director recommended to the U.S. Commissioner of Education that an up-to-date analysis of construction needs of Section 14 schools be conducted through site visits to 10% of the 700 LEAs and a mail survey to the remaining LEAs. To date no action on this recommendation has occurred.

Ongoing and Planned Evaluation Data:

The Department of Education is considering studying the construction needs of impacted school districts for the purpose of providing Congress with current information regarding these needs.

Sources of Evaluation Data:

Current

Condition, Safety and Adequacy of Schools Serving Children Who Reside on Indian Lands, DHEW, 1979.

In-Depth Study of Federally-owned School Facilities Provided Under Section 10 of Public Law 81-815, Department of Health, Education, and Welfare, 1977.

Other

Battelle Memorial Institute, School Assistance in Federally Affected Areas: A Study of Public Laws 81-874 and 81-815 published by the Committee on Education and Labor, H.R. 91st Congress, 2nd Session, GPO, 1970.

U.S. Department of Health, Education, and Welfare. Administration of Public Laws 81-874 and 81-815. Washington: Government Printing Office, 1978.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Allen J. Ellender Fellowships

Legislation:	Expiration Date:
Public Law 92-506, as amended by P.L. 94-277.	September 30, 1982

Funding History:	Year:	Authorization:	Appropriation:
	1973	$ 500,000	$ 500,000
	1974	500,000	500,000
	1975	500,000	500,000
	1976	500,000	500,000
	1977	750,000	750,000
	1978	750,000	750,000
	1979	1,000,000	1,000,000
	1980	1,000,000	1,000,000
	1981	1,000,000	1,000,000

Program Goals and Objectives:

Public Law 92-506 authorizes the Commissioner of Education to make grants to the Close Up Foundation of Washington, D.C., to help increase understanding of the Federal Government by secondary school students, their teachers, and the communities they represent.

Program Operations:

The program is a Washington-based political education program for secondary school students and their teachers. It consists of a week-long series of meetings, seminars and workshops with members of Congress, members of the Executive and Judicial branches of government, Congressional committee staff members, lobbyists, reporters, foreign government representatives, and others.

The Foundation program is community-based, i.e., local interest and support is required for participation in the program. Effort is made to match the Ellender Fellowship funds on at least a 50% basis by other public and private funds. Recipients are chosen by each school and criteria for selection varies from essay contests to interviews by teachers. In each participating community, an Ellender Fellowship is awarded to a student of low or moderate income and to a teacher from from each secondary school.

Other participants receive grants from alternate sources of funds, pay their own expenses, or earn funds in school and community projects to cover expenses. Thus, a large group of students and teachers from a community, region or State, representative of all socioeconomic levels, comes to Washington together to learn about government and the democratic process and to develop an understanding of their areas' needs and concerns.

In an effort to reach additional secondary school students and teachers with citizenship education programs, the Close Up Foundation added a telecommunication facility to their activities. From December 1979 through May 1980, using committee rooms of the House of Representatives as a studio, Close Up produced 68 forty minute television programs featuring prominent officials. The format included discussions with high school students many of whom were Ellender Fellowship recipients participating in the Close Up Foundation Washington seminars. These programs were telecast over C-SPAN (Cable Satellite Public Affairs Network) with access through direct links or cassettes to over 2,000 secondary schools. Close Up also publishes written materials including a Teacher's Guide to C-SPAN; Current Issues, a booklet that examines contemporary questions; and Perspectives, a book of readings on government operations with articles by leading members of Congress, representatives of the Executive and Judicial branches and others.

The program has also generated numerous State and local activities around the country which have involved many additional students and teachers in participating communities. Close Up provides technical assistance and support to local education officials, business leaders and civic organizations who cooperate to develop government education programs that complement the Washington learning experience.

Program Scope:

Ellender Fellowship grants were made to approximately 1900 students and teachers in 1980. These grants included costs of room, board, tuition, administration, insurance and transportation, and averaged about $515 per participant. The Ellender Fellowship recipients were part of some 13,500 students and teachers from 29 areas across the nation who participated in the program. The Close Up Foundation continued to develop specially planned seminars for some 300 handicapped participants, including paired programs for hearing and visually impaired. In addition, over 50 international students and teachers from Venezuela, Egypt, Morocco, Japan, Greece and Spain took part in the 1979-80 program as a privately-funded pilot project.

Program Effectiveness and Progress:

The Close Up Foundation contracted with Social Education Associates in 1974-75 to conduct a preliminary impact assessment. On measures of affective change such as political awareness and interest in political affairs, students were shown to have undergone positive changes of a statistically significant nature.

Ongoing and Planned Evaluation Studies:

An internal evaluation program requires every student and teacher participant to complete a survey on the educational content of the program which generates data for program modification. A comprehensive evaluation program designed to measure long term cognitive and behavioral effects is currently under consideration by the Close Up Foundation for implementation to begin during the 1980-81 program year. Additionally, over 60 participating teachers have taken a specially-designed course in curriculum from the Johns Hopkins University where they evaluated specific elements of Close Up methodology adapted for local and regional use.

Sources of Evaluation Data:

Close Up Foundation (see text). Washington, D.C.: 1980.

To Extend Support of Allen J. Ellender Fellowships. Hearings before the Subcommittee on Elementary, Secondary and Vocational Education of the Committee on Education and Labor, House of Representatives, 94th Congress, 2nd Session. Hearings held in Washington, D.C.: Government Printing Office, 1976.

For further information about program operations,

Contact: Norman Hearn
202/245-7969

For further information about studies of program effectiveness,

Contact: Tetsuo Okada
202/245-7997

Program Name:

Indochinese Refugee Children Assistance Act

Legislation:	Expiration Date:
Indochinese Refugee Children Assistance Act of 1976 (Title II, P.L. 94-405) as amended by Title XIII, P.L. 95-561 and P.L. 96-123.	September 30, 1981

Funding History:	Year:	Authorization:	Appropriation:
	1976	Indefinite	$15,000,000
	1977	"	18,500,000
	1978	"	none
	1979	"	none
	1980	"	12,000,000
	1981	No request under present authorization [1]	

Program Goals and Objectives:

Under Title II of the November 1976 Indochinese Refugee Children Assistance Act (IRCA) a special elementary and secondary educational program was established by the Office of Education. The Act authorized grants to assist State and local education agencies in providing supplementary educational services to help refugee children achieve at a satisfactory level. The supplementary services authorized included English language instruction, other bilingual education services, and special materials and supplies. Additional basic instructional services, such as teachers, materials and supplies directly necessitated by the presence of the refugee children, and inservice training activities, also qualified for support. The program was intended to provide temporary assistance.

Initially, IRCA provided one-year grants to State educational agencies which, in turn, funded local school districts with Indochinese refugee children between the ages of 5 through 17. Funding was based on $300 per child up to the first 100 in the school district or 1% of the total student population, whichever was less, and $600 per student for each student over this number. Each State was also eligible to receive 1 percent of the total State allocation funds for administrative costs.

The Education Amendments of 1978 (Title XIII, P.L. 95-561) extended authorization for the program through 1981. Under this legislation, the State educational agencies may receive a maximum of $450 per refugee child and the State administrative allowance was increased to 5 percent. Regulations specified that eighty percent of the remaining 95 percent was to be allocated to LEAs and 20 percent may be retained by the SEA for contingencies, e.g., heavy influx of refugees occurring after the annual pupil count conducted by State and local administrators.

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[1] See text.

Although the IRCA program has been extended to 1981, no funding was appropriated in 1979. In the FY 1980 budget, the administration did not request funding, although Congress appropriated $12 million. No funds have been requested for the IRCA program in the President's FY 1981 budget. Instead, the administration submitted a FY 1980 supplemental budget request for $23 million funded from the Social Security Administration Indochinese Refugee Assistance Program for the 1981-82 school year. For the 1982-83 school year, $44 million will be requested.

Program Operations:

Under the new regulations published in the January 24, 1980, Federal Register, educational services are offered to refugee children enrolled in public or private elementary and secondary schools regardless of their age. Eligibility is limited to refugee children entering the United States on or after January 1, 1977. P.L. 96-123 provides that priority in services be provided children entering U.S. schools for the first time during the 1979-80 school year. Grants are made to States who make subgrants to local educational agencies. The subgrants provide for a weighting formula that double-counts children enrolled for the first time during the 1979-1980 school year. year. The State agencies must distribute funds to school districts on the basis of the actual cost of services. Grant applications were submitted by February 27, 1980.

The current funding mechanism may soon be changed to fund local school districts, SEAs, and non-profit organizations directly through a comprehensive interagency Indochinese refugee assistance program appropriation.

Program Scope:

For FY 1980, grant requests from the States indicate that approximately 66,000 children in 2500 school districts are eligible (January 17, 1980, count) for services under the Indochinese Refugee Children Assistance program. At the FY 1980 appropriation level of $12 million, the allocation will be approximately $180 per child. All 50 States and the District of Columbia have applied for funds.

In terms of numbers of school-age refugees, the ten most heavily impacted States are:

California	16,888
Texas	5,427
New York	3,062
Illinois	2,986
Minnesota	2,722
Washington	2,648
Oregon	2,283
Pennsylvania	2,117
Louisiana	1,789

Currently, 14,000 refugees--5,000 of them school age children--enter the United States each month. Recently arrived Indochinese refugee children tend to have more academic and social adjustment problems than all previous waves of refugee children.

Program Effectiveness and Progress:

There has been no evaluation of the program.

Ongoing and Planned Evaluation Studies:

There are no plans to evaluate the program.

Sources of Data:

Annual Report, Indochinese Refugee Children Assistance Program, 1977. Report of the Task Force on Indochinese Refugee Children Assistance to the Deputy Commissioner, Bureau of Elementary and Secondary Education, May 1978.

Indochinese Refugee Assessment. Report to the Secretary of H.E.W. Department of Health, Education and Welfare, Office of the Inspector General, Service Delivery Assessment. Washington, D.C. January 1980.

For further information about program operations,

Contact: James Lockhart
202/245-3081

For further information about studies of program effectiveness,

Contact: Tetsuo Okada
202/245-7997

B.

Evaluation of Postsecondary Education Programs

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Basic Educational Opportunity Grant Program

Legislation:	Expiration Date:
Education Amendments of 1972, Title IV; Public Law 92-318, 86 Stat., 248-251; as amended PL. 94-482, PL. 95-566 and PL. 96-374	September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1973	(Such sums as	$122,100,000
	1974	may be necessary	475,000,000
	1975	"	840,200,000
	1976	"	1,325,800,000
	1977	"	1,903,900,000 1/
	1978	"	2,160,000,000
	1979	"	2,457,900,000 2/
	1980	"	1,718,000,000 3/
	1981	"	2,309,000,000

Program Goals and Objectives:

The Basic Educational Opportunity Grant (BEOG or Basic Grant) Program is a source of Federal student financial aid given to assist in making available the benefits of postsecondary education to qualified students.

The purpose of the Basic Grant Program is to assure that all students have a "funding floor" up to $1,800 to help finance their education in an eligible postsecondary institution. The $1,800 includes expected family contribution plus the Basic Grant. The amount of the Basic Grant, however, cannot exceed half the cost of education nor can the total of Basic Grant and expected family contribution exceed the students' total cost.

Program Operations

(a) Student Eligibility

Eligibility for Basic Grants is determined on the basis of financial need. No scholastic determination is made but the student must be maintaining "satisfactory progress" in the course of a study being pursued. Eligibility is limited to

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1/ Of this amount, $211,700,000 was used for 1976-77 awards.

2/ Funds include administrative costs. Appropriation of $2,431,000,000 plus administrative costs of $26,900,000.

3/ Excess monies in 1979 were carried forward. This prior year balance, when combined with the 1980 budget authority, totals $2,320,000,000.

undergraduate students who are enrolled in an eligible program on at least a half-time basis at an eligible institution of postsecondary education. These institutions include non-profit colleges and universities as well as postsecondary vocational, technical and profit-making institutions. Student eligibility is limited to four years of undergraduate study, but may be extended to five years under special circumstances specified by law.

(b) Family Contribution Schedule

The law requires the Secretary to submit to Congress each year for approval a schedule indicating the formula for determining the Expected Family Contribution (EFC). This is the amount a family is expected to contribute to a student's postsecondary education. The formula takes into account parental and student income, assets, family size, number of family members in postsecondary education, educational expenses of other dependent students, and the special educational benefits a student receives. Separate formulas are used for dependent and independent students.

(c) Calculation of Awards at Full Funding

The initial law provided that at full funding a student's Basic Grant entitlement be equal to $1,400 minus the expected family contribution. The Education Amendments of 1976 raised the maximum award for the 1978-79 and subsequent academic years to $1,800; the minimum award for $200 remained unchanged. There is a further limitation that payments cannot exceed one-half the actual cost of attendance, which includes actual tuition and fee charges, room and board, charges on a standard $1,100 living allowance and a miscellaneous allowance of $400. Finally, an award cannot exceed the difference between cost and expected family contribution.

(d) Calculation of Awards at Less than Full Funding

In the event that sufficient funds are not available to fully fund all entitlements, student grants must be reduced in accordance with the following provision:

If a student's entitlement is:	The student will receive:
More than $1,600	100% of the amount
$1,201 to $1,600	90% of the amount
$1,001 to $1,200	75% of the amount
$801 to $1,000	70% of the amount
$601 to $800	65% of the amount
$200 to $600	50% of the amount

The minimum award is $50 at less than full funding.

(e) Application for Eligibility

Students apply for Basic Grant awards annually by filing a Basic Grant application. This application requests financial information of the student and the student's family that is necessary to calculate the expected family financial contribution. The application is submitted to a contractor which processes it and returns to the student a student eligibility report (SER) which contains a student eligibility index (SEI). The SEI is equivalent to the expected family contribution. The student applies for a basic grant by submitting the SER to the institution's financial aid office. At the financial aid office the size of the Basic Grant is determined on the basis of the SEI and the cost of attendance at that institution. The award is generally disbursed by the institution.

Program Scope:

Table 1 provides summary statistics for the program since its inception. The Basic Grant program has grown from fewer than 200,000 recipients receiving under $50 million in 1973-74 to about 2.6 million recipients receiving $2.4 billion in 1979-80. During this period the average award grew by nearly $700 and potential eligibility expanded from full-time freshmen to all undergraduates enrolled on at least a half-time basis.

In addition to this dramatic growth in size there has been a change in the composition of Basic Grant recipients. Table 2 shows the distribution of recipients by family income and dependency status for the award periods 1975-76 through estimates for 1979-80. There was a large growth in the percentage of "independent" recipients after 1975-76. Most recently, the implementation of the Middle Income Student Assistance Act (P.L. 95-566) in 1979-80, caused a substantial shift in the distribution towards middle-income dependent students. As Table 3 shows this change in distribution has also been reflected in the change in the number of recipients by income category. It is estimated that the number of dependent BEOG recipients from families below $12,000 decreased between 1976-77 and 1979-80. The remaining dependent and independent recipient categories showed a large increase.

The program provides assistance to a large majority of low-income students (Table 4). As we would expect, as family income increases participation in the program decreases. Table 5 shows the distribution of Basic Grants by ethnicity and sex for 1978-79.

Program Effectiveness and Progress

One measure of the effectiveness of the Basic Grant program is its ability to equalize the "floor" of financial aid to help defray the costs of a postsecondary education. That is, students have, as an expected minimum, a financial contribution expected from the family and a Basic Grant from the Federal government. If the sum of these two, the "floor," is fairly constant across family income levels then students start out facing the same financial barriers regardless of family income. Table 4 shows that to a great extent this "floor" is being equalized for dependent student aid applicants with family incomes up to about $18,000, once institution type has been controlled for.

For example, in 1979-80 dependent student aid applicants enrolled at four-year public schools have the sum of expected family contribution and Basic Grant equal to about 48 percent of cost up to $18,000 of family income. In 4-year private schools the equalization appears up to about $18,000 at around 35 percent. At incomes above $18,000 these fractions of cost increase.

For independent students, the fraction of cost met by expected contribution and Basic Grant was, in 1979-80, generally lower than those under $18,000 dependent student by institutional sector. The cost of education for independent students is, on average, higher than that for dependent students. This is due to a higher likelihood of independent students having dependents to support. Thus, with the fraction of cost met by expected family contribution and, Basic Grants lower for independent and dependent students, the dollar amounts required from other sources are higher for independent students than for dependent students.

As a result of the Middle Income Student Assistance Act (MISAA) the total dollar awards increased for all categories of income and dependency status between 1978-79 and 1979-80. Also, there has been a dramatic shift in the relative share of Basic Grant funds and recipients toward the middle income student (See Table 7 for an indication of the change in distribution for first time students). In addition, the effect of Basic Grants has been the near equalization of the "floor" of combined Basic Grant and expected family contribution as a percentage of cost for dependent student aid applicants with family incomes up to $18,000, once institutional type is controlled for. It was also found than women and minorities receive Basic Grants in proportions greater than their shares of the undergraduate enrollment.

Table 3 showed a decrease in 1979-80 in the number of Basic Grant recipients who were dependent and from families with incomes under $12,000. However, the Middle Income Student Assistance Act which went into effect in 1979-80 provided for lower expected family contributions and an increase in the maximum award. As a result, the total funds awarded to each income group increased. The percentage increase in funds was slight in the low income categories and quite large in the middle and upper income groups.

Table 5 indicates that women and minorities receive a larger share of Basic Grant funds than their proportion of the undergraduate enrollment. One suspects the lower average income of minority students accounts for the distribution by ethnicity. It is not clear whether lower income or higher propensity to apply for aid of women accounts for the distribution by sex.

Ongoing and Planned Evaluation Studies:

All recent studies have been completed. A new study building upon earlier works will be prepared for FY1981 to study the impact of the Higher Education Amendments of 1980.

Source of Evaluation Data:

Applied Management Sciences, Inc., "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs, "U.S. Office of Education, OED, Contract #300-77-0498.

Applied Management Sciences, Inc., "Study of the Impact of the Middle Income Student Assistance Act," U.S. Office of Education, OED, Contract #300-79-0437.

Higher Education Research Institute, "Acquisition of Cooperative Institutional Research Program (CIRP) Files," U.S. Office of Education, OED, Contract #300-78-0183.

USOE, Bureau of Student Financial Assistance, Merged Applicant/ Recipient Files for BEOG, 1975-76 through 1977-78.

American Council on Education, Higher Education Panel Survey #36, "Estimated Number of Student Aid Recipients, 1976-77," October 1977.

Higher Education Research Institute, "Studies on the Impact of Student Financial Aid Programs," U.S. Office of Education, OED, Contract #300-75-0382.

For further information about program operations,

Contact: Joseph Vignone, 472-4300

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

Table 1

Basic Educational Opportunity Grant Program
Summary Statistics

	Academic Year						
	1973-1974	1974-1975	1975-1976	1976-1977	1977-1978	1978-1979	1979-1980 1/
Number of Applications Processed	512,866	1,304,877	2,339,337	3,590,379	3,844,047	3,885,383	2/
Number of Applications Returned for Insufficient Data	30,535	190,793	160,641	181,661	222,406	483,955	2/
Number of Valid Applications	482,331	1,114,084	2,178,696	3,408,718	3,621,641	3,401,428	2/
Number and Percent of Qualified Applications	268,444 (55.7%)	681,648 (61.2%)	1,455,187 (66.8%)	2,258,043 (66.2%)	2,390,320 (66.0%)	2,228,603 (65.5%)	2/
Number and Percent of Non-Qualified Applications	213,887 (44.3%)	432,436 (38.8%)	723,509 (33.2%)	1,150,675 (33.8%)	1,231,321 (34.0%)	1,172,825 (34.5%)	2/
Classes of Eligible Applicants	Full-Time Freshman	Full-Time Freshman and Sophomores	Freshman Sophomores Juniors	All Undergraduates	All Undergraduates	All Undergraduates	All Undergraduates
Number of Recipients	185,249	573,403	1,228,034	1,945,454	1,763,990	1,893,000	2,600,000
Total Expenditures	$49,873,951	$356,536,667	$936,543,134	$1,473,814,387	$1,587,863,624	$1,361,000,000	2,400,000,000
Average BEOG Grant	$ 269	$ 622	$ 763	$ 758	$ 852	$ 825	$ 923
Minimum BEOG Grant	$ 50	$ 50	$ 200	$ 200	$ 200	$ 200	$ 200
Maximum BEOG Grant	$ 452	$ 1,050	$ 1,400	$ 1,400	$ 1,400	$ 1,600	$ 1,800

1/ Estimated
2/ Not currently available

Source: Bureau of Student Financial Assistnace, USOE.

Table 2

Changing Composition of Basic Grant Recipients By Student Status

	Per Cent of Recipients				
	1975-76	1976-77	1977-78	1978-79	1979-80
Independent Students	27%	36%	39%	33%	32%
Dependent Students by Family Income					
Less than $6,000	30	26	25	21	13
$6,000-12,000	32	28	25	26	18
Over $12,000	11	11	11	20	37
TOTAL	100%	100%	100%	100%	100%

Sources: (1) For 1975-76 thorugh 1977-78 - Office of Student Financial Assistance's Merged Applicant Recipient data files.

(2) For 1978-79 - "Study of Program Management Procedures in the Campus-Based and Basic Grants Programs - Stage 2"'; Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

(3) For 1979-80- "Study of the Impact of the Middle Income Student Assistance Act". Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

Table 3

Changes in the Number of Basic Grant Recipients

Number of Recipients in Thousands (% Increase From Prior Year)

	1976-77	1977-78	1978-79	1979-80
Independent Students	700(+111%)	688(-2%)	625(-9%)	832(+33%)
Dependent Students by Family Income				
Less than $6,000	506(+37%)	441(-13%)	398(-9%)	338(-15%)
$6,000-12,000	545(+39%)	441(-19%)	492(+12%)	468(-5%)
Over $12,000	214(+58%)	194(-9%)	379(+95%)	962(+154%)
TOTAL	1945(+58%)	1764(-9%)	1893(+7%)	2600(+37%)

Source: See Table 7

Table 4

Proportion of Postsecondary Undergraduate Enrolled at Least Half-Time Receiving Basic Grant Awards in 1978-79

Independent Students	32%
Dependent Students by Family Income	
Less than $6,000	79%
$6,000-12,000	62%
$12,000-18,000	33%
$18,000-25,000	10%
$25,000-30,000	5%
Over $30,000	1%
TOTAL	29%

Source: See Table 2

Table 5

Distribution of Basic Grants by Ethnicity and Sex-1978-79

	Ethnicity	Percentage of Recipients	Percentage of Dollar Awards	Undergraduate Population
1.	American Indian/ Alaskan Native	2.8	3.1	0.8
2.	Asian/Pacific Islander	3.2	3.0	3.3
3.	Black, Not Hispanic	34.0	36.7	12.3
4.	Hispanic	16.8	15.4	6.0
5.	White	43.3	41.8	77.5
	TOTAL	100.0	100.0	100.0
	Sex			
1.	Male	39.6	38.9	45.5
2.	Female	60.4	61.1	54.5
	TOTAL	100.0	100.0	100.0

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grants Programs - Stage 2", Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

Table 6

EFC + BEOG as the "Floor" - Per Cent of Cost Met by Expected Family Contribution and Basic Grants for Aid Applicants By Family Income (1979-80)

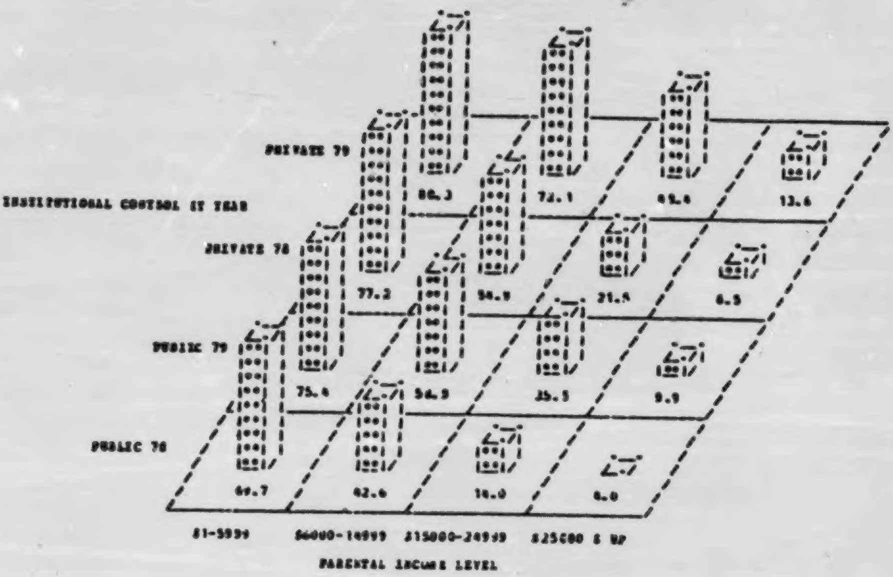
	Four-Year Public		Four-Year Private		Two-Year Public		Two-Year Private		Proprietary	
	EFC	EFC & BEOG	EFC	EFC & BEOG	EFC	EFC & BEOG	EFC	EFC & BEOG	EFC	EFC & BEOG
Dependent Student Family Income										
$0-6,000	6	48	8	35	18	49	15	49	11	45
6,000-12,000	10	47	9	31	21	53	15	46	15	46
12,000-18,000	19	47	19	35	28	58	20	45	27	50
18,000-24,000	36	56	28	40	39	62	33	53	27	43
24,000-30,000	44	58	46	45	49	70	55	68	32	41
Over $30,000	53	61	56	59	*	*	69	71	*	*
Independent	8	24	8	20	10	56	12	33	6	31

Source: "Study of the Impact of the Middle Income Student Assistance Act"; Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

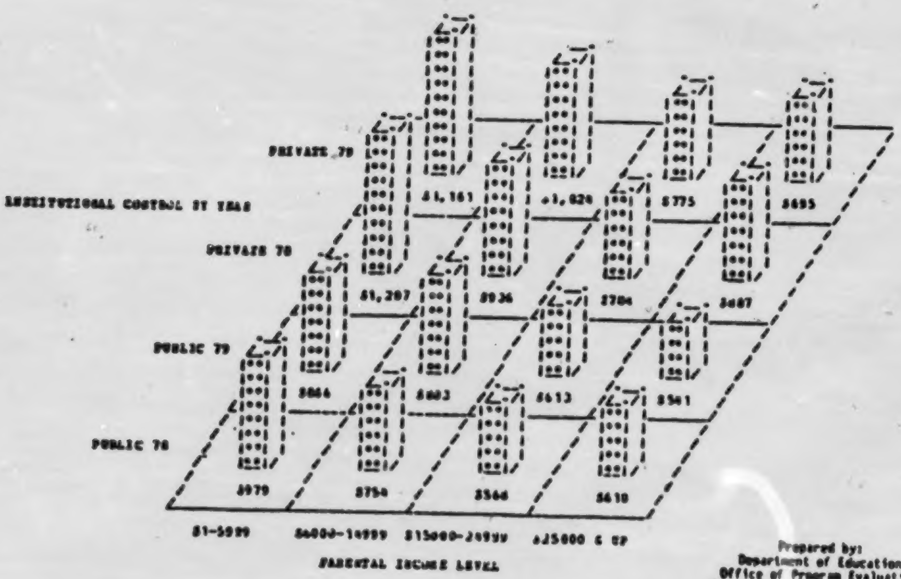
* Insufficient data.

Table 7

CIRP 1978 & 1979 FIRST-TIME, FULL-TIME DEPENDENT FRESHMEN
PERCENTAGE RECEIVING BASIC EDUCATIONAL OPPORTUNITY GRANTS



AVERAGE AMOUNT OF BASIC EDUCATIONAL OPPORTUNITY GRANTS RECEIVED
(AVERAGE EXCLUDES ZERO AMOUNTS)



Prepared by:
Department of Education
Office of Program Evaluation
Postsecondary Programs Division

For further information, contact
C. Dennis Carroll, (245-7884)

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Supplemental Educational Opportunity Grants Program

Legislation:

Title IV Subpart A-2, Public Law 92-318, 86 Stat. 251; as amended PL. 94-482 and PL. 96-374

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization 1/	Appropriation
1974	$200,000,000	$210,300,000
1975	200,000,000	240,300,000
1976	200,000,000	240,093,000
1977	200,000,000	250,093,000
1978	200,000,000	270,093,000
1979	200,000,000	340,100,000
1980	200,000,000	370,000,000
1981	200,000,000	370,000,000

Program Goals and Objectives:

The purpose of the Supplemental Educational Opportunity Grants (SEOG) Program is "to provide, through institutions of higher education, supplemental grants to assist in making available the benefits of postsecondary education to qualified students who, for lack of financial means, would be unable to obtain such benefits without such a grant." The more general related goal is to contribute to the promotion of the financial aspect of equality of educational opportunity at the postsecondary level by equalizing the sum of expected family contribution and grant aid from student to student at similar institutions.

Program Operations:

(a) Student Eligibility

SEOG awards are limited to students who are enrolled at least half-time as undergraduates at their respective institutions, who maintain "satisfatory progress," and who have "exceptional need." This latter term has been interpreted to mean those students whose expected family financial contribution is less than one-half of the cost of attendance at the institution.

1/ For initial year grants plus such sums as may be needed for continuing grants.

(b) Student Applications and Awards

Students apply for SEOG's through the financial aid administrators at their institutions. The student does not apply specifically for an SEOG but rather for financial assistance in general. The financial aid administrator determines, on the basis of available funds and the need of the student whether or not to award an SEOG and its size. The maximum is $1,500 per year but cannot exceed the total amount of student financial aid, other than SEOG, provided to the student through the institution. The total amount of funds awarded to any student over the course of a four year program is $4,000. If the student is enrolled in a program of study extending over five years, or where particular circumstances, as determined by the institution, require that the student spend an additional year completing a program of study that normally requires four years, the limit is $5,000.

(c) Institutional Applications and Awards

For purposes of awarding aid to institutions there are actually two SEOG programs--an initial year (IY) and a continuing year (CY) program. The Department of Education determines the proportions of total program funding that are allotted to IY and CY uses. Initial year funds can only be awarded to students who have never before received an SEOG while continuing year funds can only be awarded to prior recipients.

Institutions apply for SEOG funds, both IY and CY, annually via the "FISAP" (combined Fiscal Operations Report and Application for Campus-Based Aid). The FISAP became operational in the fall of 1978 for funds to be used during the 1979-80 academic year. Prior to this, institutions applied for funds by an application for a specific funding level that was reviewed at the level of the ED Regional Offices. Institutional awards were determined by prorating approved application requests downward on a State by State basis so as not to exceed total appropriations nationwide.

The current process allots both IY and CY funds to institutions on a formula basis and is done at the national level.

Program Scope:

The SEOG program has grown from $210 million in the 1974-75 academic year to $340 million for the 1979-80 academic year or 62 percent over five years. The average (per recipient) award has risen over this period from about $500 to over $600.

The changing composition of SEOG recipients is shown in Table 1. There have been clear increases in the percentages of receipients who are declared "independent" of their parents for financial aid purposes and of recipients who are dependent with family income above $12,000. In Table 2, the distribution of SEOG recipients and funds by ethnicity and gender for 1978-79 is shown.

Table 1

Income Distribution of SEOG Recipients in Percents From 1974-75 to 1979-80

	1974-75	1976-77	1978-79	1979-80
Less than $6,000	39%	24	17	13
6,000 - 12,000	30	31	21	20
Over 12,000	6	19	31	35
Independent	25	26	31	32
Total	100	100	100	100

Sources: "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs - Stage 2", and "Study of the Impact of the Middle Income Student Assistance Act;" Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

Table 2

Distribution of Supplemental Grants by Ethnicity and Gender 1978-79

	Percentage of Recipients	Percentage of Dollar Awards	Undergraduate Population
Ethnicity			
American Indian/ Alaskan Native	2.4	2.5	0.8
Asian/Pacific Islander	4.4	4.5	3.3
Black, Not Hispanic	34.7	33.7	12.3
Hispanic	10.7	11.0	6.0
White	47.9	48.3	77.5
Total	100.0	100.0	100.0
Gender			
Male	42.3	41.6	45.5
Female	57.3	58.4	54.5
Total	100.0	100.0	100.0

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grants Programs - Stage 2;" Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

The percentage of undergraduates enrolled at least half-time receiving SEOG in 1978-79 is shown in Table 3. As family income decreases the likelihood being a recipient increases. There were approximately one-half million student recipients during 1978-79.

There are approximately 3,500 institutions participating in the SEOG program. Their funding by type and control is shown in Table 4. Although only about 20 percent of all undergraduates are enrolled in private institutions, roughly 40 percent of the SEOG funds went to these schools. This is due to the cost sensitive nature of the funding mechanisms and the higher cost of private versus public schools.

Program Effectiveness and Progress:

- SEOG awards are meeting between three and four percent of the cost of attendance of undergraduate student aid applicants.
- Within institution type the fraction of cost being met by SEOG generally remained the same up to about $24,000 in family income and remained fairly constant by year in school.
- In 1979-80 an estimated 13 percent of all SEOG recipients did not receive a Basic Grant. In 1978-79, this figure was an estimated 25 percent.
- Women and minorities received SEOG awards in greater proportions than their share of the undergraduate enrollment.

Table 5 shows the estimated increase in the percentage of budget met by non-returnable (expected family contribution, grants, and scholarships) aid caused by SEOG. The average increase is between 3 and 4 percent of budget - slightly higher in the public and proprietary sectors, lower in the private sector. Within each sector, these budget percentages remained fairly constant up to $24,000 in family income and decreased thereafter for aid applicants. There were no major changes by year in school.

In Table 6, the fraction of SEOG recipients who do not receive Basic Grants is shown. In total, about 13 percent of SEOG recipients (fewer than 100,000) did not receive a Basic Grant in 1979-80. This contrasts sharply with 1978-79 in which around 25 percent of SEOG recipients, in aggregate, did not receive a Basic Grant. For dependent students with family incomes over $18,000 more than half of all SEOG recipients did not receive Basic Grants in 1978-79. With the introduction of the Middle Income Student Assistance Act in 1979-80, and its expanded eligibility for Basic Grants, these percentages have dropped dramatically.

Table 3

Percentage of Postsecondary Undergraduates Enrolled at Least Half-time Receiving SEOG in 1978-79

Independent	10%
Dependent with Family Income	
$ 0 - 6,000	21%
6,000 - 12,000	16%
12,000 - 18,000	11%
18,000 - 25,000	4%
25,000 - 30,000	2%
Over $30,000	less than 1%
Total	9%

Table 4

Distribution of 1978-79 and 1979-80 Allocations of SEOG by Institution

	SEOG-IY			SEOG-CY			SEOG-Total		
	1978-79	1979-80	1980-81	1978-79	1979-80	1980-81	1978-79	1979-80	1980-81
Four-Year Public	34%	34%		43%	41%		38%	37%	
Four-Year Private	30	32		42	45		36	38	
Two-Year Public	17	16		10	9		14	13	
Two-Year Private	3	4		2	3		3	3	
Proprietary	16	14	—	2	2	—	10	9	—
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%
National Allocation ($ million)	146	184		124	156		270	340	370

Source: Office of Student Financial Assistance.

Table 5
Percent of Cost Being Met by "Packaged" Non-Returnable Aid, With and Without SEOG for 1979-80 By Type of Institution

Student Type	Four-Year Public		Four-Year Private		Two-Year Public		Two-Year Private		Proprietary	
	w/ SEOG	w/o SEOG	w/ SEOG	w/o SEOG	w/ SEOG	w/o SEOG	w/ SEOG	w/o SEOG	w/ SEOG	w/o SEOG
Independent	34	32	36	32	34	31	45	44	39	37
Dependent With Family Income:										
$0-6,000	67	62	62	57	61	55	61	60	56	51
6,000-12,000	60	57	60	54	61	55	65	64	58	52
12,000-18,000	59	56	60	56	67	60	57	56	61	55
18,000-24,000	66	64	65	61	67	64	66	65	53	48
24,000-30,000	64	63	68	66	72	72	77	77	*	*
Over 30,000	70	69	75	74	*	*	82	81	*	*
All	54	51	59	56	48	44	58	57	47	43
Freshman	60	49	63	59	49	45	58	57	47	43
Sophomore	53	49	60	57	47	41	59	58	46	43
Junior	52	49	55	52	--	--	--	--	--	--
Senior	49	47	55	52	--	--	--	--	--	--

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs - Stage 2"; Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

* Insufficient Data.

Table 6

Estimated Percent of SEOG Recipients with No BEOG for 1979-80 by Type of Institution

	Four-Year Public	Four-Year Private	Two-Year Public	Two-Year Private	Proprietary
$ 0 - 6,000	6%	4	6	0	3
6,000 - 12,000	7	5	1	8	0
12,000 - 18,000	5	7	19	10	0
18,000 - 24,000	19	19	25	9	26
24,000 - 30,000	9	23	--	19	--
Over 30,000	17	43	--	--	--
Independent	17	12	26	43	5
Total	11	12	19	13	5

Source: "Study of the Impact of the Middle Income Student Assistance Act;" Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

Table 7 outlines participation patterns for 1978-79 and 1979-80 for first-time students. Where rates of participation for students from families with incomes in excess of $6,000 showed moderate gains in the public sector and almost no change in award levels, rather significant changes occured in the private sector both in terms of participation and award level, a further indication of the impact of MISAA. It is especially noteworthy that students from very low income families essentially held their own over this period.

Ongoing and Planned Evaluation Studies:

All recent studies have been completed. A new study to measure the impact of changes made in the program as a result of the Higher Education Amendments of 1980 will be proposed for the Fall of 1981.

Sources of Evaluation Data:

Applied Management Sciences, Inc., "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs," U.S. Office of Education, OED, Contract #300-77-0498.

Applied Management Sciences, Inc., "Study of the Impact of the Middle Income Student Assistance Act," U.S. Office of Education, OED, Contract #300-79-0437

Higher Education Research Institute, "Acquisition of Cooperative Institutional Research Program (CIRP) Files," U.S. Office of Education, OED, Contract #300-78-0183.

USOE, Bureau of Student Financial Assistance, Fiscal Operations and "FISAP" reports.

American Council on Education, Higher Education Panel Survey #36, "Estimated Number of Student Aid Recipients, 1976-77," October 1977.

Higher Education Research Institute, "Studies on the Impact of Student Financial Aid Programs," U.S. Office of Education, OED, Contract #300-75-0382.

For further information about program operations,

Contact: Robert Coates, 245-2320

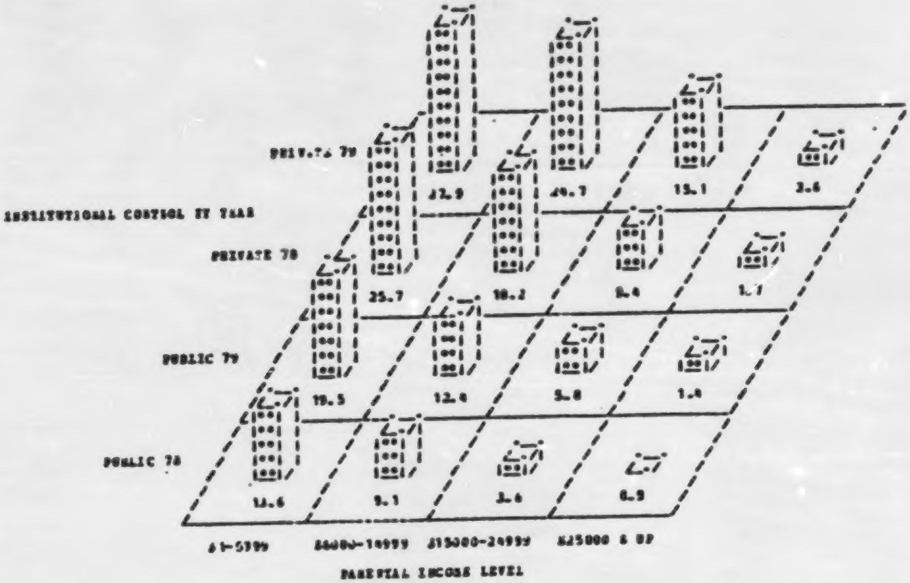
For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

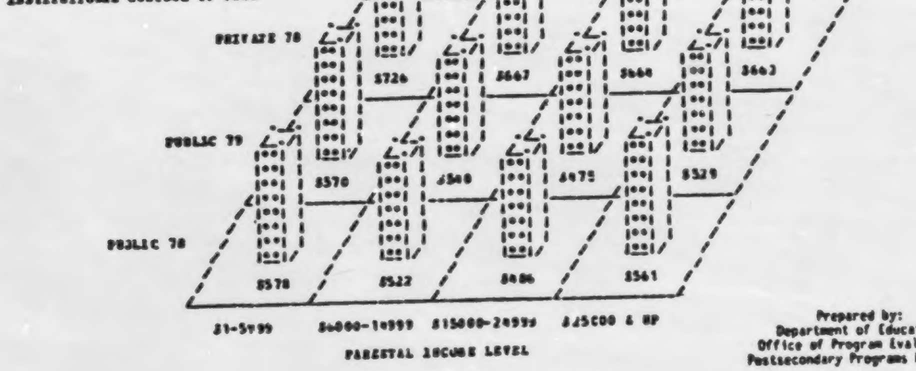
Table 7

CIRP 1978 & 1979 FIRST-TIME, FULL-TIME DEPENDENT FRESHMEN

PERCENTAGE RECEIVING SUPPLEMENTARY EDUCATIONAL OPPORTUNITY GRANTS



AVERAGE AMOUNT OF SUPPLEMENTARY EDUCATIONAL OPPORTUNITY GRANTS RECEIVED
(AVERAGE EXCLUDES ZERO AMOUNTS)



Prepared by:
Department of Education
Office of Program Evaluation
Postsecondary Programs Division

For further information, contact
C. Dennis Carroll, (245-7804)

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Student Incentive Grant Program

Legislation:	Expiration Date:
Title IV, Subpart A-3 of the Higher Education Act; as amended Public Law 92-318 ; PL. 94-482 PL. 96-374	September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1973	$50,000,000 1/	None
	1974	50,000,000 1/	$20,000,000 2/
	1975	50,000,000 1/	20,000,000
	1976	50,000,000 1/	44,000,000
	1977	50,000,000 1/	60,000,000
	1978	50,000,000 1/	63,750,000
	1979	50,000,000 1/	76,750,000
	1980	50,000,000 1/	76,750,000
	1981	50,000,000 1/	76,750,000

Program Goals and Objectives:

The SSIG program is designed to encourage States to develop or expand programs of grant aid to help undergraduate students with "substantial financial need" who attend eligible postsecondary institutions. As with other Federal student assistance programs, SSIG contributes to, and provides an incentive for States to contribute to, the longer term goal of equality of educational opportunity. It is difficult to assign a specific measure of effectiveness as States have a great deal of discretion as to how SSIG funds are used.

Program Operations:

SSIGP is a 50-50 cost-sharing (State-Federal) program under which Federal funds are allotted/reallotted to the States based on a formula reflecting current student attendance patterns. Reallotment is permitted if a State does not use its current allotment. Disbursements are made directly from the Federal Government to the States and from the States to postsecondary institutions on behalf of students. While States are responsible for the selection of grant recipients, selection criteria are subject to review by the Secretary, and individual student grants are limited to $1,500 per academic year. A State may employ any distribution procedure that falls within the overall scope of the statute.

1/ Plus such sums as may be needed for continuation grants.

2/ Only $19,000,000 was released for allotment.

States are required to administer the funds through a single State agency, with no Federal allowance for administrative costs. To ensure maintenance of effort, State matching for student awards must be in excess of the amount the State spent for grants two fiscal years prior to the year the State initially received aid under the SSIG program.

Program Scope:

Fifty-seven States and territories are potentially eligible for matching grants under the SSIG program. In FY 1974, the first year of SSIG operation, scholarship programs were expanded in 27 States, and completely new programs were established in 14 States and territories. The following year, 9 new States and the District of Columbia joined the network of jurisdictions with operational State scholarship programs. All eligible States and territories were included in the SSIG network in 1979. The scope of the State aid programs is shown in Table 1.

Under the definition of "substantial financial need," States have a wide latitude in their selection of grant recipients. Students from both low and middle incomes may receive grants under this definition. In FY 1975, an estimated 80,000 students received average grants of $500 ($250 Federal funds). In FY 1976, awards averaging $500 went to an estimated 176,000 students, including two continuation classes and a new round of initial student grantees. The pattern of support for four full undergraduate classes was reached in FY 1977.

Distributions of need-based grant assistance from State and Federal sources is shown in Table 2. A pattern of greater relative assistance to middle and upper income undergraduates by State grant aid, as compared to Federal grant aid, is apparent.

Program Effectiveness and Progress:

- o Available data suggest that the SSIG program has been highly successful in stimulating the development of a network of State scholarship program for the delivery of financial aid to students. The number of States with such programs almost doubled during the first two years of SSIG operations. At the beginning of Fiscal Year 1978 no State or territory remains outside the SSIG delivery system. In September 1978, the National Association of State Scholarship and Grant Programs in its 10th Annual Survey reported that the State level of funding for student aid had risen dramatically over the years the SSIG had been in effect. Table 2 shows the growth in State programs accompanying participation in SSIG.

- o Rates of growth among States with programs established prior to SSIGP vary markedly ranging from level funding for a handful of States to increases of several thousand percent. As a group, these States have increased their funding levels for State scholarship and grant

Table 1
History Since 1969-70 of State-Funded Need-Based Undergraduate Scholarship/Grant Programs

Year	# of States/ Territories	# Awarded Students	Dollar Awards * (Millions)
1969-70	19	470,000	$199.9
1970-71	21	535,200 (up 13.7%)	236.3 (up 18.2%)
1971-72	23	604,000 (up 12.9%)	268.6 (up 13.7%)
1972-73	29	661,700 (up 9.6%)	315.5 (up 17.5%)
1973-74	31	733,300 (up 10.8%)	364.2 (up 15.4%)
1974-75	37	813,100 (up 10.9%)	440.8 (up 21.0%)
1975-76	48	901,900 (up 10.9%)	510.2 (up 15.7%)
1976-77	55	1,104,400 (up 22.5%)	651.4 (up 27.7%)
1977-78	56	1,190,300 (up 7.8%)	746.0 (up 14.5%)
1978-79	57	1,250,000 (est.)	828.9 (up 15.3%)

Source: A Study of State Student Incentive Grant Programs. ECS/NCHEMS, Denver, Colorado. Funded by Office of Evaluation and Dissemination. USOE

Table 2

Growth in State Programs From Base Year of Qualifying for SSIGP - Best Estimate Data

State	Base Year	Base Year Level of Effort (Millions)	1977-78 Total Funds (Millions)	Percentage Growth
Alabama	1973	.306	.541	+ 77%
Alaska	1974	.0	.141	--
Arizona	1974	.0	1.400	--
Arkansas	1973	.0	.650	--
California	1972	20.881	78.964	+ 278%
Colorado	1972	6.880	9.894	+ 44%
Connecticut	1972	1.448	6.814	+ 371%
Delaware	1972	1.002	.520	--
District of Columbia	1973	.0	.873	--
Florida	1972	.616	8.290	+1,246%
Georgia	1972	.0	2.807	--
Hawaii	1973	.0	.484	--
Idaho	1973	.0	.388	--
Illinois	1972	41.749	78.103	+ 87%
Indiana	1972	5.040	20.100	+ 299%
Iowa	1972	4.290	11.622	+ 171%
Kansas	1972	.150	4.410	+2,840%
Kentucky	1972	.0	3.514	--
Louisiana	1973	4.782	.559	--
Maine	1972	.0	.730	--
Maryland	1972	3.237	2.117	--
Massachusetts	1972	8.205	14.685	+ 79%
Michigan	1972	12.984	27.812	+ 114%
Minnesota	1972	2.384	22.183	+ 830%
Mississippi	1973	.0	1.044	--
Missouri	1972	.0	7.175	--
Montana	1973	.0	.339	--
Nebraska	1972	.0	.745	--
Nevada	1975	.0	.200	--
New Hampshire	1974	.0	.414	--
New Jersey	1972	20.898	28.977	+ 39%
New Mexico	1974	.0	.561	--
New York	1972	76.400	229.400	+ 200%
North Carolina	1973	.817	2.580	+ 216%
North Dakota	1972	.0	.343	--
Ohio	1972	14.718	29.144	+ 98%
Oklahoma	1972	.0	1.763	--
Oregon	1972	.967	4.613	+ 377%
Pennsylvania	1972	54.726	70.936	+ 30%
Rhode Island	1972	1.793	2.797	+ 56%
South Carolina	1972	.114	8.948	+7,749%
South Dakota	1972	.021	.236	+1,024%
Tennessee	1972	.0	3.050	--
Texas	1972	1.000	16.820	+1,582%
Utah	1972	.186	1.247	+ 570%
Vermont	1972	2.230	3.176	+ 42%
Virginia	1974	1.422	2.488	+ 75%
Washington	1972	1.337	4.950	+ 270%
West Virginia	1972	.299	2.699	+ 803%
Wisconsin	1972	4.296	21.048	+ 390%
Wyoming	1973	.0	.056	--
A. Samoa	1974	.0	.293	--
Puerto Rico	1972	6.000	1.092	--
Virgin Islands	1972	.324	.487	+ 50%
Trust Territory	1972	.536	.560	+ 4%

Source: A Study of State Student Incentive Grant Programs. ECS/NCHEMS, Denver, Colorado. Funded by Office of Evaluation and Dissemination.

TABLE 3

Distribution of Undergraduate Needbased State Grant Aid Assistance vs. Federal Grant Assistance by Income (1979-80)

	Percentages of Dollar Awards		Undergraduate Financial Aid Applicants	Undergraduate Students (Enrolled at least Half-Time)
	State	Federal*		
Dependent with				
Family Income				
$ 0- 6,000	15	18	18	6
$ 6,000-12,000	15	17	16	8
$12,000-18,000	18	15	13	12
$18,000-24,000	16	10	10	14
$24,000-30,000	9	4	5	6
over $30,000	5	1	3	16
Independent	23	34	35	38
TOTAL	100	100	100	100

Source: Student Record Data from: "The Study of the Impact of the Middle Income Student Assistance Act"; Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

*Federal "need-based" grant assistance of Basic and Supplemental Educational Opportunity Grants (BEOG and SEOG).

programs from $287.0 to $714.5 million for an average rate of growth of 149 percent. The 21 States with no program prior to SSIGP now have programs awarding approximately $27 million. In 14 of these 21 States the Federal government via SSIGP still shares 50 percent of the cost of their State student financial aid programs, while the State share exceeds the Federal share in seven of them.

- State grant assistance is distributed more towards middle and upper income students than is Federal grant assistance. This was shown in Table 3.
- Approximately 15 percent of all undergraduates enrolled at least half-time received need-based State grants in 1978-79. Tables 4A and 4B break down this percentage by income and by type and control of institution. As expected, the proportion of undergraduates receiving need-based State grants decreases with increasing income. Except for independent students the proportion of students receiving need-based State grants (i.e., between the proportion receiving Federal Basic Grants and aid under the Federal Campus-Based (Supplemental Educational Opportunity Grants, National Direct Student Loans, and College-Work Study) programs. This relationship also holds true in the public and two-year private sectors.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

National Association of State Scholarship and Grant Programs, 9th Annual Survey, September, 1977.

Education Commission of the States, "Study of State Student Incentive Grant Program and State Scholarship Programs," U.S. Office of Education, OED, Contract #300-76-0376.

SSIG Program files, Office of Student Financial Assistance

Applied Management Sciences, Inc., "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs," U.S. Office of Education, OED, Contract #300-77-0498.

Applied Management Sciences, Inc., "Study of the Impact of the Middle Income Student Assistance Act," U.S. Office of Education, OED, Contract #300-79-0437.

TABLE 4A: PROPORTION OF POSTSECONDARY UNDERGRADUATE STUDENTS ENROLLED AT LEAST HALF-TIME RECEIVING PARTICULAR FORMS OF FINANCIAL ASSISTANCE BY TOTAL FAMILY INCOME AND DEPENDENCY: ACADEMIC YEAR 1978-79

TOTAL FAMILY INCOME

Source of Financial Aid	DEPENDENTS $0 - 5,999	 $600 11,999	 $12,000 17,999	 $18,000 24,999	 $25,000 29,999	 $30,000+	INDEPENDENTS	TOTAL
BEOG	79	62	33	10	5	1	32	29
SEOG	21	16	11	4	2	0	10	9
NDSL	19	22	21	13	6	2	11	12
CWS	25	23	17	10	6	3	9	11
STATE	31	30	26	17	11	5	9	15

TABLE 4B: PROPORTION OF POSTSECONDARY UNDERGRADUATE STUDENTS ENROLLED AT LEAST HALF-TIME RECEIVING PARTICULAR FORMS OF FINANCIAL ASSISTANCE BY TYPE AND CONTROL OF INSTITUTION: ACADEMIC YEAR 1978-79

TYPE AND CONTROL OF INSTITUTION

Source of Financial Aid	PUBLIC 4-year	 2-year	PRIVATE 4-year	 2-year	Proprietary	Total
BEOG	29	26	27	28	53	29
SEOG	9	5	13	5	14	9
NDSL	13	23	4	7	20	12
CWS	10	22	8	16	2	11
STATE	16	27	7	12	10	15

SOURCE: "Study of Management Procedures in the Campus-Based and Basic Grant Programs;" Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE

For further information about program operations,

Contact: Lanora G. Smith, 472-4265

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Work-Study Program

Legislation:

Public Law 89-329 of the Higher Education Act of 1965, Title IV-C; as amended PL. 94-482 and PL. 96-374

Expiration Date:

September 30, 1982

Funding History:

Year	Authorization	Appropriation 1/
1965	2/	$ 55,710,000
1966	$129,000,000	99,123,000
1967	165,000,000	134,100,000
1968	200,000,000	139,900,000
1969	225,000,000	139,900,000
1970	275,000,000	152,460,000
1971	320,000,000	158,400,000 3/
1972	330,000,000	426,600,000 4/
1973	360,000,000	270,200,000
1974	390,000,000	270,200,000
1975	420,000,000	420,000,000
1976	420,000,000	390,000,000
1977	450,000,000	390,000,000
1978	570,000,000	435,000,000
1979	600,000,000	550,000,000
1980	630,000,000	550,000,000
1981	670,000,000	550,000,000

1/ Up until Fiscal Year 1972, the CWS Fiscal Year appropriation was used to fund program operations during the calendar year. With Fiscal Year 1972, the program became one full year forward-funded.

2/ The Economic Opportunity Act of 1964 authorized a lump sum of $412,500,000 for three youth programs including College Work-Study.

3/ Actual funds available for CWS in this year amounted to $199,700,000, including reprogrammed funds.

4/ Includes $244,600,000 forward funding for Fiscal Year 1973, plus a supplemental of $25,600,000. A total of $237,400,000 was available for use during Fiscal Year 1972 from a combination of Fiscal Year 1972 from a combination of Fiscal Year 1971 and Fiscal Year 1972 appropriations.

Program Goals and Objectives:

The objective of the CWSP is to stimulate and promote the part-time employment of students with great financial need in eligible institutions who need earnings from employment to finance their courses of study. By subsidizing the part-time employment of needy students the program contributes to the longer term Federal goal of equality of educational opportunity at the postsecondary level.

Program Operations:

Under the legislation, employment partially financed by College Work-Study funds is made available in public or private non-profit organizations including the institution in which a student is enrolled.

Grants are made to higher education institutions for partial reimbursement of wages paid to students. Since August 1968, these Federal grants have covered up to 80 percent of the student wages, with the remainder paid by the institution, the employer, or some other donor.

Two percent of each year's appropriation is reserved for Puerto Rico, Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands. A portion is also reserved for students from American Samoa/Trust Territories who attend eligible institutions of postsecondary education outside Samoa or the Trust Territory. The rest is allotted among the 50 States, the District of Columbia, and the Northern Mariana Islands, 52 areas, by formula. The formula was based on three factors:

(1) The number of full-time higher education students each area has relative to the total number for the 52 areas.

(2) The number of high school graduates each area has relative to the total number for the 52.

(3) The number of related children under 18 years of age living in families with income of less than $3,000 each area has relative to the total number for 52.

Program Scope

During Academic Year 1978-79, 3,230 institutions of postsecondary education participated in the CWS program enabling approximately 796,000 students to find part-time employment. The average annual student earnings, including the institutional matching share, ranged from $700 in private two-year institutions to $1,116 in proprietary institutions. About 18 percent of CWS funds help finance off-campus jobs held by 16 percent of the CWS job holders. Gross compensation earned by students was almost one-half billion dollars.

Data from the fiscal operations report show that during Academic Year 1979-80 (see Table 1), CWSP funds were distributed to institutions as follows: Public universities, and other four-year institutions, 43 percent; public two-year, 17 percent, private universities, 35 percent; other four-year private; 31 percent, private two-year, 3 percent; and proprietary, 2 percent. About ninety percent of the funds went to undergraduates while the remainder was awarded to students at the post-baccalaureate level.

Table 1 displays the percentage of awards going to different groups of institutions in academic years 1978-79 and 1979-80. In general the various private institutions are getting agreater percentage of campus based funds and the public institutions a smaller percentage of funds in 1979-80 compared with the earlier year. In part, the changes in the distribution of funds among institutions is based upon the new system of allocating funds within the States which is more closely tied to the financial needs of students in each applicant's school.

Program Effectiveness and Progress:

The CWSP appears to be effective in stimulating the employment of needy students. The program is unquestionably popular with postsecondary institutions both as a student aid program and as a means of providing a pool of highly subsidized labor. This pool is also welcomed by other participating non-profit institutions.

Schools in fact, have found it to their advantage to request as much CWS funding as they can since, for many institutions, CWS workers provide a ready resource of subsidized labor which is used to support a wide variety of campus programs and activities. The limited number of CWS eligible employment opportunities at proprietary schools 1/ results in a low rate of participation in the CWS program.

With regard to helping students meet their college's expenses, studies show the distribution of dollars in the College Work Study Program is spread quite evenly through the lowest four income categories of dependent students. Table 2 indicates that, in 1978-79 and in 1979-80, almost two-thirds of CWS awards were distributed to dependent students from families whose incomes are below $24,999. The average awards for these students, generally increase inversely to the income level of the student's family. It is also noted that eligible independent students on the average, earn considerably more during the academic year than their dependent counterparts. Another way of viewing it is that they appear to work almost a quarter more hours than their counterparts.

With the advent of the Middle Income Student Assistance Act, CWSP participants from families with incomes in excess of $25,000 increased from about 6% of the total to 11% (Table 2). However, of all the Federal campus-based programs, MISAA appears to have had the smallest effect on the distribution of CWSP participants since a fair portion of the increase in participation may be due to shifts of the family income group as a result of adjustments in wages due to inflation.

1/ Students receiving CWS monies cannot be employed with profit-making organizations.

TABLE 1

DISTRIBUTION OF PARTICIPANTS IN FEDERAL COLLEGE WORK STUDY PROGRAMS BY STUDENT INCOME LEVEL 1978-79 and 1979-80*

	PERCENTAGE OF TOTAL RECIPIENTS		PERCENTAGE OF TOTAL AWARDS		AVERAGE/ RECIPIENT	
STUDENT TYPE	1978-79	1979-80	1978-79	1979-80	1978-79	1979-80
STUDENTS						
DEPENDENTS						
$0-$5,999	16.3	11.2	16.3	11.0	848	965
$6,000-$11,999	18.0	18.4	17.5	17.3	822	925
$12,000-$17,999	16.9	16.7	15.6	14.7	780	869
$18,000-$24,999	13.2	15.2	12.3	11.9	791	770
$25,000-$29,999	3.8	6.2	2.9	4.5	652	716
$30,000 or more	1.9	4.9	1.6	4.0	696	802
INDEPENDENTS	22.7	24.6	27.3	33.6	1018	1342
UNKNOWN**	7.2	2.7	6.5	3.0		
TOTAL	100.0	100.0	100.0	100.0		

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*Averages for the program are based only upon the students who received the particular form of Federal financial assistance. Unduplicated averages are based upon all students who received one or more of the four Federal aid sources.

**Students of unknown dependency status and/or income level.

SOURCE: Applied Management Sciences, Study of the Impact of the Middle Income Student Assistance Act (MISAA), Silver Spring, MD, March 1980.

TABLE 2

COMPARISON OF ALLOCATION 1978-79 and 1979-80

COLLEGE WORK-STUDY PROGRAMS

(dollars in thousands)

	Allocation 1978-1979 Award Year $$	Allocation 1979-1980 Award Year[1/] $$	% inc/ decr	Per cent of Total 78-79	Per cent of Total 79-80
U.S. TOTAL	43,800	547,023	26.1	100	100
STATE TOTAL					
PUB 4-YR	200,406	235,730	17.6	46.2	43.1
PUB 2-YR	82,418	93,190	18.1	19.0	17.0
PRI 4-YR	132.864	194,344	46.3	30.6	35.5
PRI 2-YR	10,454	15,178	45.2	2.4	2.8
PROP	7,658	8,580	12.0	1.8	1.6

[1/] Final Allocati Date: Run of 6-22-79

Source: Office of Student Financial Aid; ED

Table 3 compares the distribution of CWSP for first-time students before and after the passage of MISAA for public and private institutions. They also reflect a substantial increase in the CWSP appropriation. However, the increases by income group were clearly greater in the private sector especially with regard to participation of students from families at higher income levels.

Finally with respect to the Federal goals of equality of access and choice, if program participation is any indication, then the program appears to be successful in promoting these ends. A recent study found that 57.2 percent of CWS participants in Academic Year 1978-79 at all eligible institutions were private, 46.4 percent were from ethnic minorities and 34.3 percent were dependent undergraduates with family incomes less than $12,000.

The largest percentage, 44 percent, of CWS participants were in the 19 to 20 age group and the next largest 31.6 percent were in the 21 to 22 age group. Only .8 percent, however, were found in the over 44 years of age group.

Ongoing and Planned Evaluation Studies:

All recent studies of the Federal student aid programs have been completed. A new study, to be conducted in the Fall of 1981, is under consideration.

The new study, like earlier efforts, will examine how the management and operations of these programs impact on educational opportunity, the level and distribution of financial aid in postsecondary education, the efficiency of student aid delivery system and the impact of these programs on institutional resource distribution.

Sources of Evaluation Data:

Program files, Assistant Secretary for Postsecondary Education.

Applied Management Sciences; Study of the Impact of Student Financial Assistance Program: Who Gets It, How Much, and Why?, Volume II, Contract #OE-300-77-0498, May 1980.

Applied Management Sciences; The Impact of the Middle Income Student Assistance Act (MISAA) Silver Spring, Maryland, Contract #OE-300-79-0437, March 1980.

For further information about program operations,

Contact: Robert Coates, 472-2840

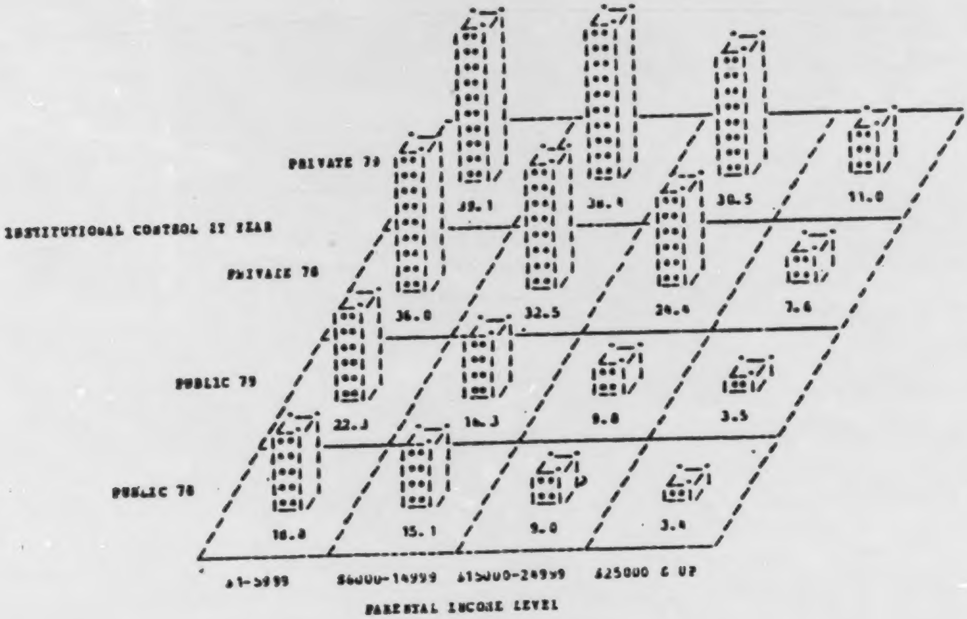
For further information about studies of program effectiveness,

Contact: Sal B. Corrallo, 245-7884

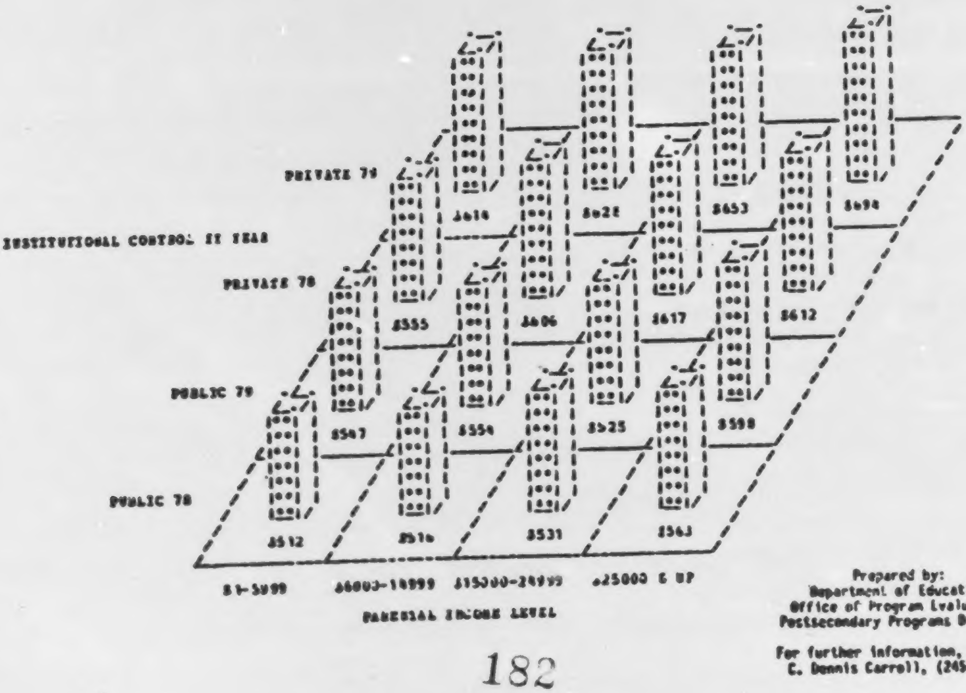
Table 3

CIRP 1978 & 1979 FIRST-TIME, FULL-TIME DEPENDENT FRESHMEN

PERCENTAGE RECEIVING COLLEGE WORK-STUDY AWARDS



AVERAGE AMOUNT OF COLLEGE WORK-STUDY AWARDS RECEIVED
(AVERAGE EXCLUDES ZERO-AMOUNTS)



Prepared by:
Department of Education
Office of Program Evaluation
Postsecondary Programs Division

For further information, contact
C. Dennis Carroll, (245-7884)

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

National Direct Student Loan Program

Legislation:

Title IV, Part E of the HEA 1965
Public Law 89-329, as amended. PL. 94-482
and PL. 96-374 1/

Expiration Date:

October 1, 1985

Funding History:

Year	Authorization 2/	Appropriation 3/
1966	$179,300,000	$181,550,000
1967	190,000,000	192,000,000
1968	225,000,000	193,400,000
1969	210,000,000	193,400,000
1970	325,000,000	195,460,000
1971	375,000,000	243,000,000
1972	375,000,000	316,600,000 4/
1973	400,000,000	293,000,000 5/
1974	400,000,000	298,000,000
1975	400,000,000	329,440,000
1976	400,000,000	331,960,000
1977	400,000,000	323,220,000
1978	400,000,000	325,660,000
1979	400,000,000	328,900,000
1980	400,000,000	300,800,000
1981	400,000,000	200,800,000

1/ Prior to FY 1973, the program was known as the National Defense Student Loan Program. Title II of NDEA of 1958 as amended (Public Law 85-864).

2/ Authorization for Federal capital contributions to loan funds only. In addition, a total of $25,000,000 was authorized for loans to institutions from Fiscal Year 1959 up to a maximum of $25 million.

3/ Appropriation includes contributions to loan funds, loans to institutions, and Federal payments to reimburse institutions for teacher/military cancellations.

4/ Actual Fiscal Year 1972 appropriation was $316,600,000. However, $23.6 million was mandated to be used during Fiscal Year 1973. The difference of $293.0 million was made available for use during Fiscal Year 1972, of which $286 million was for contribution to loan funds.

5/ Of this amount $269,400,000 was available for use in Fiscal Year 1973 and $23,600,000 was mandated for Fiscal Year 1974.

Program Goals and Objectives:

The objective of the program is to allocate funds to postsecondary institutions for the purpose of making long-term, low-interest loans to students with financial need. Those loans are to provide lower-income students with an additional source of funds for access to postsecondary education and to help provide middle-income students with another source of funds with which they may choose a broader range of institutions. Such loans complement other forms of student financial assistance such as Basic and Supplemental Educational Opportunity Grants, College Work-Study, and Guaranteed Student Loans.

Program Operations:

Funding is initially allotted to States by means of an allotment formula and by regulation. Prior to FY 1979 funding levels for institutions within each State were recommended by regional review panels consisting of OE Program Officers from the regional and national offices and financial aid officers selected from institutions in that region. Recommended funding levels were generally in excess of the annual NDSL allotment for a State. In certain cases, the entire group of institutions within a State received less than 100 percent of their panel approved amount. However, each institution within that group received a pro-rated reduction in its allocation which, in percentage, was equal to that of every other institution in the State. Currently, funding levels are determined by computer. Each institution receives the larger of a "conditional guarantee" based on its program expenditures or its "fair share" determined by formula. Institutions often distribute NDS loans in conjunction with other forms of financial aid and financial aid officers "package" these various aid components in different ways depending on available funds and student circumstances.

Students may borrow a total of: (a) $2,500 if they are enrolled in a vocational program or if they have completed less than two years of a program leading to a bachelor's degree; (b) $5,000 if they are undergraduate students and have already completed two years of study toward a bachelor's degree (this total includes any amount borrowed under the NDSL for the first two years of study); (c) $10,000 for graduate or professional study (this total includes any amount borrowed under the NDSL for undergraduate study). Upon leaving the institution, students sign a repayment agreement which specifies the duration and amount of repayment. After a nine-month grace period following cessation of studies, the student begins repayment (on a monthly, bimonthly, or quarterly basis), normally over a ten-year period. The borrower's ten-year repayment period may be deferred not to exceed three years for service with VISTA, the Peace Corps, or military services.

A percentage of the total loan amount may be cancelled for individuals providing special services in specific teaching areas and for members of the Armed Forces of the United States' serving in areas of hostility.

Program Scope:

In Fiscal Year 1979, over 3,300 institutions participated in the program. The law provides limits on the aggregate amount which can be allocated to proprietary institutions. The total allocation of Federal Capital Contribution to such institutions may not exceed the difference between $190 million and the total appropriation. It is estimated that the average loan in Fiscal Year 1979 was $810 and that this average was maintained in Fiscal Year 1980. Estimated data for Fiscal Year 1979 show that $58.9 million in prior loans was cancelled under the Part E statutory provisions.

The new Federal Capital Contribution for Fiscal Year 1980 is $192.5 million. NDSL award expenditures are estimated to be $711 million in Fiscal Year 1979, an increase of 0.7 percent over the $707 million expended in the previous year. The difference between expenditure levels and FCC represents the cash available for new loans from repayment of loans made to borrowers in previous years plus the institutional matching share for new FCC. This cash flow from repayments amounted to $383 million in Fiscal Year 1979, an increase of 10 percent from the $348 million of the previous year.

Of the total Fiscal Year 1979 NDSL expenditure of $711 million, $375 million, or 53 percent of total loan funds, will be utilized by public 4-year colleges and universitites and $277 million, or 39 percent will be utilized by private 4-year institutions. Proprietary institutions are expected to utilize 8.3 percent of total available funds.

For Fiscal Year 1979, repayment cash flow was 1.49 times new Federal Capital Contributions. For Fiscal Year 1978 that ratio was 1.35 times new FCC. Repayment cash flow is expected to increase by approximately 10 percent annually for the next several years and at an even higher rate if colleges and universities increase their collections on defaulted loans.

Program Effectiveness and Progress:

Program effectiveness can be partially measured by analyses of the distributions of funds for various characteristics of student borrowers.

These analyses focus upon a number of significant trends related to the following issues: (1) what are the institutional and income characteristics of NDSL recipients?; (2) what is the relationship between use of National Direct loans and use of guaranteed student loans?; and, (3) what is the status of delinquencies and defaults in the NDSL program?

I. Analysis of NDSL Recipients

Analysis of NDSL recipients from a 1979 AMS survey indicates that students at four-year colleges and universities increased their utilization of the NDSL program from 79.4 percent to 83.7 percent of all recipients. Two-year college students were also larger participants, comprising 12.2 of all recipients compared with 10.7 percent of the previous year. Increases at both types of schools were in contrast to a decrease in utilization by proprietary institutions from 9.9 percent (Fiscal Year 1978) to 4.2 percent (Fiscal Year 1979). Average loan size increased sharply at both public and private two-year colleges (+17 percent at public two-year institutions and +31 percent at private two-year institutions). Average loan size declined somewhat (-5 percent) at private colleges and universities.

Analysis of data from the 1979 Cooperative Institutional Research Project (CIRP) (Table I) for first-time, full-time, dependent students shows that participation in NDSL is more importantly a function of institutional cost than of family income. The average participation rate (across all family incomes) at more expensive private four-year institutions was 19.5 percent in comparison with 8.4 percent at less expensive four-year public colleges. The participation rate (across all institutional types) for the two lowest income categories ($1-12,499) was 13.8 percent while the participation rate for the highest income group ($30,000 and above) was only 3.5 percent. These comparisons appear to indicate that NDSL's are awarded primarily on the basis of relative financial need.

The average amount of loan varies primarily by family income. For example, at four-year public colleges the average amount of loans for those in the lowest family-income category was $835 and for those in the highest income category, $1,237, or, 48 percent more. The largest percentage increase in loan amount by cost of institution (across all income categories) was only 20 percent. These comparisons appear to indicate that amounts borrowed are moderate for those income groups eligible for substantial amounts of grant assistance. Average loan amounts increase for those income groups not eligible for grant assistance or eligible for lesser amounts of such grant aid.

II. Relationship between utilization of NDSLP and GSLP

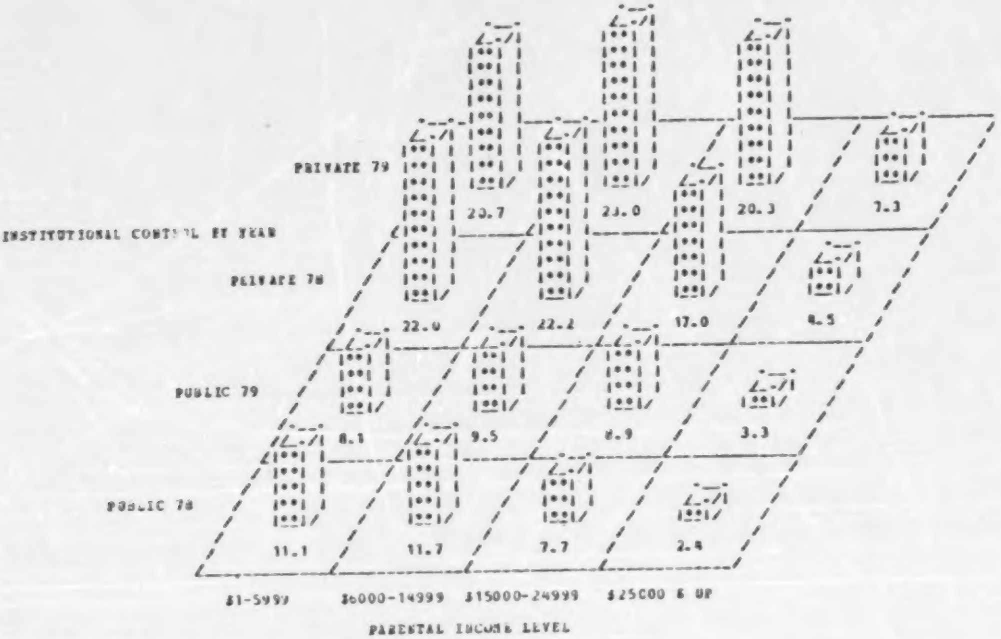
For a number of years different hypotheses have existed about whether guaranteed student loans are regularly packaged with NDSL's, or whether NDSL funds serve primarily as a substitute for unavailable guaranteed student loans.

Analysis of 504,520 borrowers who were full-time freshmen in the Fall of 1979 revealed the following distribution, by type and loan:

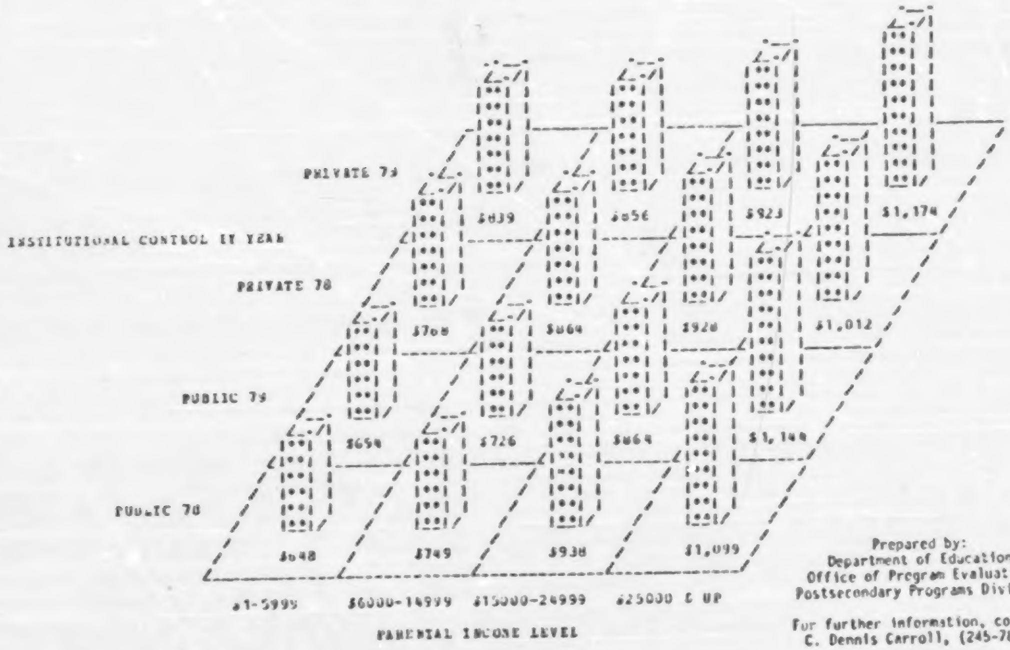
NDSL only	162,796	(32.3%)
GSL only	302,501	(60.0%)
Both NDSL and GSL	39,223	(7.8%)
TOTAL	504,520	100%

CIRP 1978 & 1979 FIRST-TIME, FULL-TIME DEPENDENT FRESHMEN

PERCENTAGE RECEIVING NATIONAL DIRECT STUDENT LOANS



AVERAGE AMOUNT OF NATIONAL DIRECT STUDENT LOANS RECEIVED
(AVERAGE EXCLUDES ZERO AMOUNTS)



Prepared by:
Department of Education
Office of Program Evaluation
Postsecondary Programs Division

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C. Dennis Carroll, (245-7884)

This distribution indicates that only 7.8 percent of all borrowers have a package containing both an NDSL and a GSL. The comparable percentage distribution in 1978 was 7.2 percent. These figures indicate that there is no significant degree of overlap between utilization of GSL's and NDSL's.

One inference is that the packaging of a GSL and an NDSL is more dependent on unique or individual circumstances (probably related to availability of the expected parental contribution) than to variations of gross income and institutional cost.

III. NDSL delinquency and default

Total delinquency and default in NDSLP has been increasing rapidly during recent years. For example, at the end of Fiscal Year 1973, the total number of students whose accounts were more than 120 days past due (the GSLP criterion for default) was approximately 423,000 and the value of those delinquent accounts, $262 million. By the beginning of Fiscal Year 1979, however, the number of students with seriously delinquent loans had risen to about 580,000 and the value of these loans to $704 million. Furthermore, about 39 percent of these loans have been in default more than two years, indicating that they may be much more difficult to collect.

Many of NDSLP's problems originate, however, at the disbursement level (educational institutions) where no immediate and direct program control is possible. However, over the past two years the Bureau of Student Financial Assistance has initiated administrative action providing incentives for institutions to reduce their delinquency rates and to forward to OE for collection loans which have been in default for more than two years. Furthermore, eligibility for additional amounts of Federal Capital Contribution depends on having a default rate of less than 10 percent or on a minimum 25 percent improvement in the default experience from the previous year.

During FY 1979, Applied Management Sciences of Silver Spring, Maryland completed Stage I of a Study of Program Management Procedures in the Campus-Based and Basic Grant Programs. Findings related to management of the NDSL program are:

-- analysis of 77 audit reports from the period July 1974 through November, 1977 showed major deficiencies of various kinds in administration of loan programs.

-- the most frequently observed deficiencies related to internal controls, accounting systems, and record maintenance. These problems were noted in 45 percent of the audit reports analyzed but were found in 75 percent of the four-year institutions.

-- deficiencies in refund policies and procedures were noted in 44 percent of the audits, all of them at Proprietary vocational schools.

-- violations of institutional matching provisions were observed in 29 percent of examined audits, and occurred in five of seven junior or community colleges.

-- analysis of 175 program reviews conducted from April 1 to June 30, 1978 major problems with record maintenance, accounting procedures, improper disbursement, and poor collection efforts. Proprietary schools had a significantly smaller percentage of these problems than public and private, non-profit institutions.

Ongoing and Planned Evaluation Studies:

Stage II of the AMS study will provide data on the specific effects of OE and institutional operation procedures upon students and upon the institutions themselves.

Sources of Evaluation Data:

Cooperative Institutional Research Project (CIRP), 1979 Report. Los Angeles, California, 1979.

Study of Program Management Procedures in the Campus-Based and Basic Grant Programs, U.S. Office of Education, Office of Evaluation and Dissemination, Washington, D. C., 1979.

Applied Management Sciences, Inc., "Study of the Impact of the Middle Income Student Assistance Act," U.S. Office of Education, OED, Contract #300-79-0437.

Program files, Office of Student Financial Assistance, U.S. Department of Education.

For further information about program operations,

Contact: David Iwamoto, 245-1747

For further information about program effectiveness,

Contact: Daniel Morrissey, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Guaranteed Student Loan Program

Legislation:

Title IV-B, Higher Education Act of 1965, enacted by Public Law 89-329; amended by Public Laws 89-698, 89-752, 89-794, 90-460, 90-575, 91-95, 92-318, 92-391, 93-269. 94-328, 94-482, 95-43, 96-49, and 96-374

Expiration Date:

September 30, 1986

Funding History:

Year	Loan Volume	Obligations 1/	Appropriation 1/
1966	$ 77,492,000 2/	$ -	$ 9,500,000 2/
1967	248,494,000 2/	15,632,000	43,000,000 2/
1968	435,849,000 2/	39,937,000	40,000,000 2/
1969	686,676,000	60,571,000	74,900,000
1970	839,666,000	118,387,000	73,226,000
1971	1,043,933,000	135,616,000	161,200,000
1972	1,301,577,000	228,708,000	209,365,000
1973	1,198,523,000	304,237,000	291,640,000
1974	982,000,000 3/	422,321,000	398,668,000
1975	1,208,000,000 3/	464,163,000	594,200,000
1976	1,735,000,000 3/	560,889,000	807,787,000
1977	1,470,000,000 3/	538,996,000	357,312,000
1978	1,648,000,000 3/	737,021,000	479,663,000
1979	2,250,000,000	788,023,000	945,030,000
1980	4,840,000,000	1,597,877,000	1,609,344,000
1981	5,100,000,000	3,314,876,000	2,312,479,000

1/ Includes: advances for reserve funds, expenditures for interest payments, special and administrative allowances, death and disability claims, bankruptcy claims and default claims. Costs for computer S & E items are not included except for Fiscal Years 1978 and 79 which do include computer costs of $10.5 and $12.5 million respectively.

2/ Includes loans under the now repealed National Vocational Student Loan Insurance Act of 1965.

3/ Disbursed loan volume rather than commitments as for prior years.

Program Goals and Objectives:

The objective of the program is to provide loans to students attending eligible institutions of higher education, vocational, technical, business and trade schools, and eligible foreign institutions. This program is designed to utilize non-Federal loan capital supplied primarily by commercial lenders but also by some educational institutions and State and private agencies acting as direct lenders. These loans are guaranteed either by individual State or private nonprofit agencies (reinsured by the Federal government) or directly by the Office of Education. The objective of such guarantees is to provide long term low interest, deferred payment, non-collaterized loans to students. This permits lenders to make loans directly to students (not their families) without these students having to establish credit ratings. The goal is to provide the broadest possible access to loan capital without the usual constraints of credit-worthiness and provision of collateral to secure the loan. Such broad access to loan capital is intended to provide freer access by students to postsecondary education and a wider choice in the types of institutions attended. Guaranteed loans are an important supplement to other Office of Education programs of student financial aid, providing low-income students with an additional source of funds and providing many middle and upper middle-income students with their primary source of Federal assistance.

Program Operations:

The principal of the loan is provided by participating lending institutions such as commercial banks, savings and loan associations, credit unions, insurance companies, pension funds, State agencies, and eligible educational institutions. The loan is guaranteed by a State or private non-profit agency or insured by the Federal government.

The following is a description of the program during Fiscal Year 1980. A student is eligible if he or she is enrolled and in good standing as determined by the institution, or accepted for enrollment at least half time at an eligible institution and is a United States citizen or is in the United States for other than a temporary purpose and intends to become a permanent resident thereof. Annual loan limits are $2,500 for undergraduate study and $5,000 for graduate study. The total aggregate of loans outstanding cannot exceed $7,500 for undergraduate or professional students and $15,000 for graduate students, including undergraduate loans. All students are eligible for Federal interest benefits. The Federal government will pay to the lender the total interest due prior to the beginning of the repayment period and during authorized deferment periods thereafter. The student pays the total interest at an annual percentage rate of 7 percent during the repayment period, which begins 9-12 months after the normal full-time academic workload. Deferment of repayment is provided when the student returns to full-time study at an eligible educational institution, enrolls in certain graduate fellowship programs, or participates in Secretary of Education. A deferment period of up to three years is also provided while the borrower is serving active duty in the Armed Forces, or in the Peace Corps, or full-time volunteer programs conducted by ACTION. In addition, repayment may be deferred during a single period, not to exceed one year, during such time that the borrower is seeking but unable to find full-time employment.

A statutory formula provides for a special allowance to be paid to lenders in order to promote an equitable return to holders of loans, to encourage prompt payment, to give appropriate consideration to relative administrative costs and money market conditions. The special allowance is computed by determining the average of the bond equivalent rates of the ninety-one-day Treasury bills for the three month period, by subtracting 3.5 percent from this average, by rounding the resultant percent upward to the nearest one-eighth of one percent, and by dividing the resultant percent by four. There is no ceiling on the special allowance rate.

Other significant provisions include: (1) a series of incentives to encourage more States to form and operate their own guarantee agencies; existing guarantee agencies are also given additional compensation in order to carry out specific functions; (2) in some cases, there are certain limitations on the total annual amount of the loan depending upon who makes the loan and the total cost of education at the institution attended by the borrower; (3) under certain conditions, guarantee agencies may be reinsured by the Federal government at 100 percent of losses due to claims for death, disability, and default; (4) student loan obligations may not be discharged in bankruptcy within 5 years of the time the repayment of the loan was to have begun except in the case of undue borrower hardship; and (5) the Secretary is authorized to contract for assistance in the recovery of defaulted loans.

Program Scope:

Cumulative dollar amount of disbursements insured through Fiscal Year 1979 are allocated 13 percent to the Federally Insured Student Loan Program (FISLP) and 87 percent to State Guarantee Agencies. Loans are provided to students attending 3,581 eligible schools of higher education, 3,289 vocational, technical, business, and trade schools, and 856 foreign educational institutions.

In Fiscal Year 1979 an estimated 12,000 institutions were approved and making loans. These lenders made an estimated 236,000 Federal loans as well as an estimated 789,000 State, for a total of 1,025,000 loans disbursed. The total amount of loan disbursements was estimated at $1,854,000,000. Federal loans disbursements were estimated at $417,000,000 and $1,435,000,000 for State and other. The amount of the average loan disbursed was $1,809.

Of the total Fiscal Year 1979 obligations, $248.6 million were for interest benefits, $194.5 million for special allowance payments, $5.6 million for death and disability payments, $9.3 million for bankruptcy claims, and $206.6 million for the payment of default claims.

I. Analysis of Freshmen GSLP Participation 1/

The CIRP data for Fiscal Year 1979 indicates that Freshmen do not participate proportionately with other classes in utilization of the GSLP program. Whereas the overall program participation rate is about 19 percent, the participation rate for Freshmen is about 15 percent. This appears to be a significant change from Fiscal Year 1978 data which showed a 16 percent total participation rate and only a 14 percent rate for Freshmen.

Variation from this average participation rate of 15 percent for Freshmen is related both to differences in family income and to differences in institutional costs. In Fiscal Year 1979, GSLP participation by income 2/ (Table I) increased from 12 percent in the $1-5,999 income category to 18.9 percent in the $20-29,999 income group. Similarly, borrower participation by institutional cost 3/ increased from 11 percent for those attending private, four-year institutions.

In Fiscal Year 1979, dependent Freshmen borrowed an average of $2,242, or, 90 percent of the maximum amount ($2,500) which can be borrowed by undergraduates for a normal academic year. The average amount borrowed is more significantly related to family income than to institutional cost. For example, those in the highest family income category ($30,000 and above) borrowed an average of $1,742 while those in the two lowest income groups borrowed an average of $1,156 and $1,137, respectively. It is also significant that borrowers in all income groups who attend low-tuition, two-year public colleges on average borrow a relatively large amount ($1,321). This average loan size for two-year public college borrowers is 89 percent of the average loan size ($1,484) of those attending far more expensive private, four-year colleges.

The Middle Income Student Assistance Act (MISAA) became effective on November 1, 1978. Analysis of Fiscal Year 1979 loans to Freshmen after MISAA had become effective, and Fiscal Year 1978 loans to Freshmen prior to the effects of MISAA, provides a measure of the changes in participation rates by income. The income category of $25,000 and above had been made newly eligible for interest subsidies as a result of MISAA. The participation rate for this income group in Fiscal Year 1979 was 33.9 percent as compared with a participation rate of 16.2 percent in Fiscal Year 1978. This approximate doubling of participation rate by the highest income group ($25,000 and above) indicates the effectiveness of MISAA's subsidy provision, intended to make loans more available to middle-income families. Participation rates for the lowest income category declined moderately from 26.6 percent in Fiscal Year 1978 to 24.4 percent in Fiscal Year 1979.

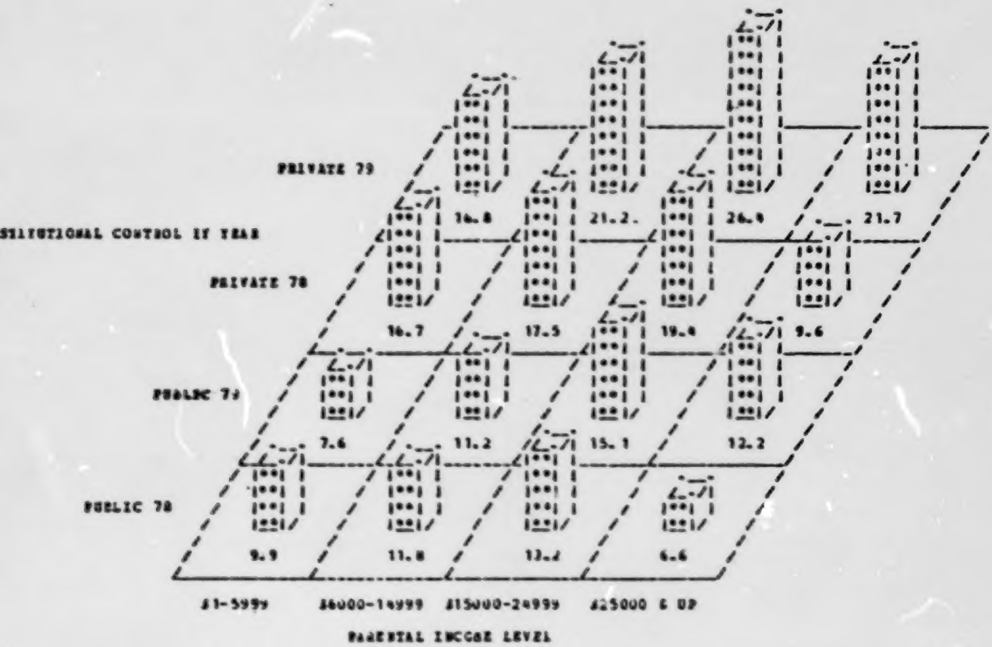
1/ See National Direct Student Loan Program section for discussion of overlap with GSL recipients.

2/ Unweighted average across all institutional types.

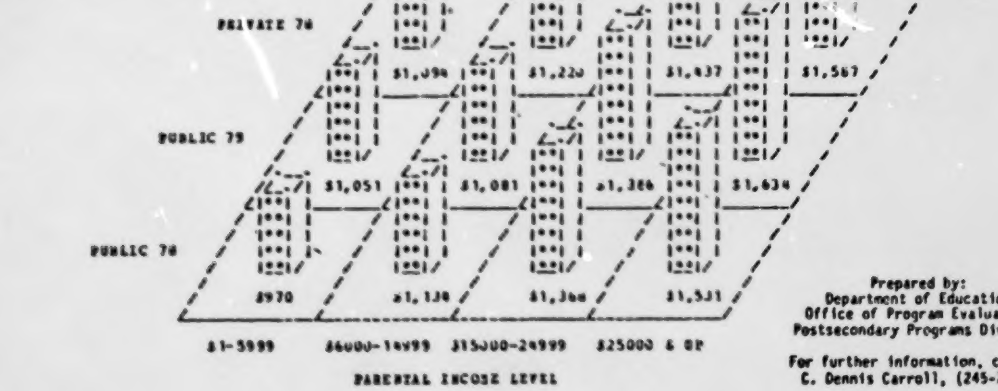
3/ Unweighted average across all family income categories.

CIRP 1978 & 1979 FIRST-TIME, FULL-TIME DEPENDENT FRESHMEN

PERCENTAGE RECEIVING FEDERAL GUARANTEED STUDENT LOANS



AVERAGE AMOUNT OF FEDERAL GUARANTEED STUDENT LOANS RECEIVED
(AVERAGE EXCLUDES ZERO AMOUNTS)



Prepared by:
Department of Education
Office of Program Evaluation
Postsecondary Programs Division

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II. Study Findings

A Study of Requirements for Forming State Guarantee Agencies was completed in July, 1979 by Touche, Ross and Company, Washington, D.C. This study was in response to Section 411(c) of the Education Amendments of 1976 in which Congress expressed its intention that each State form its own student loan guarantee agency. Touche, Ross conducted a cost audit and management analysis of 22 of the 24 State guarantee agencies existing at the end of fiscal Year 1977.

In general, existing State guarantee agencies were found to be effective in delivery of diverse services relating to their primary loan guarantee function. Twenty-one of the agencies were found to be financially viable in relation to the fiscal incentives provided in the 1976 legislation. Despite efficiency and effectiveness of overall operations, specific areas were found to require further strengthening: (1) internal management information systems were found to be rudimentary in relation to the real information needs of management; (2) external reporting as specified by the Office of Education has been characterized by lack of proper definitions and report utilization; (3) external reporting by State guarantee agencies has often been characterized by incomplete and inconsistent data causing State agency aggregated data to be of limited usefulness to OE and to the Congress; (4) relatively few agencies have developed comprehensive compliance programs to detect and reduce program fraud and abuse; (5) the processing systems utilized by some agencies were either not sufficiently automated in relation to the large volume of paperwork or, if automated, were inefficiently utilized; and, (6) several agencies provided no enforcement of "due diligence" regulations and some other agencies took on such enforcement duties directly rather than enforce lender compliance. Many State guarantee agencies have now corrected many or all of these deficiencies.

State guarantee agencies were judged to be particularly effective, however, in their general relationships with lenders and, particularly, in their lender promotion activities. An important result has been rapidly increasing loan volume, one measure of increased loan availability to borrowers. Agencies are also very efficient in processing default claims, with the average elapsed time between submission of claim and payment being 37 days. Twenty-one of the 22 State agencies used outside commercial firms (or law firms) for assistance in the collection of defaulted loans. The results of these arrangements was judged to be very good even though States generally follow conservative accounting practices in showing results from collection activities.

A Study of Selected Institutions and Borrowers was completed in September, 1979 by Cresap, McCormick, and Paget, Washington, D. C. The study was a review of institutional policies and procedures at 16 proprietary schools and 12 institutions of higher education acting as direct lenders under the Federally Insured Student Loan Program. As part of the review, over 300 borrowers were interviewed in order to assess their experience with the schools' stated policies and procedures.

Both proprietary schools and IHE lenders were found to have stated policies and procedures which were in conformity with OE regulations and program directives. Schools stated, and borrowers confirmed, that prospective students were not pressured to enroll and that the loan was not used as a recruiting tool. The great majority of students apparently understood their individual obligation to repay the loan, a large proportion of [illegible] school borrowers felt only somewhat well-informed about the terms of the loan. While all schools in the study held "exit" interviews to inform graduating borrowers of these terms and of conditions for deferment and forbearance of loan payments, attendance at these interviews is not mandatory.

Many borrowers reported that they would not have been financially able to attend the school or college with access to the guaranteed loan, but about 30 percent said they would have preferred to borrow a larger amount.

Among other major findings were:

-- Many proprietary school borrowers do not appear to have been informed of the size of the monthly payments on their loans;

-- Borrowers, particularly at proprietary schools, are not sufficiently aware of the requirement to provide change of address information after they leave school;

-- One-third of the borrowers said that school responses to their questions about loans was not satisfactory or only somewhat satisfactory.

Ongoing and Planned Evaluations:

The following studies are continuing and scheduled for completion in September, 1980, June, 1981 and February, 1981, respectively:

(1) Sources of Loan Funds for Students and Their Parents

This study will identify and catalog all sources of educational loans for students and their parents. It will describe the terms under which such loans are made, annual loan volumes and the socioeconomic characteristics and geographic locations of the borrowers served. The information (published and unpublished) will be gathered from the most appropriate Federal agencies, State agencies, private sector lenders, firms administering loan programs for private sector lenders or organizations representing groups of private lenders. Total annual loan volumes in aggregate, and by type of loan, will be calculated. Geographic and socioeconomic patterns of loan utilization in aggregate and by type of loan will be described and compared. Very little, in particular, is known about loans which originate exclusively in the private sector and no known compendium of educational loan financing facts exists.

(2) Parent Survey Component of High School and Beyond (Base Year Data Collection)

This procurement will collect data from a nationally representative sample of 5,000 parents of high school seniors. It will last from October 1979 through September 1980 and cost $400,000. The high school seniors will have been surveyed a few months previously and it is expected that these same students and their parents will be surveyed again two years later. The parent questionnaire is currently being designed and field tested (with Fiscal Year 1978 funds). The data collected by the parent survey will relate to parental knowledge about postsecondary schooling options (offerings, costs, and the availability of financial aid), parental plans and actions to finance their childrens' education, family demographic, social and financial characteristics. Although this survey represents the base-year of a two-wave longitudinal data collection effort, it will provide data that is immediately useful for evaluating the effectiveness of information dissemination about postsecondary education opportunities, what these opportunities cost, and what financial aid is available to help meet these costs. In addition, it will provide detailed information about how parents plan to finance their childrens' education and the size of the contribution they will be making, which will be analyzed with respect to family composition, social background, and financial position. The procurement will only include descriptive analysis, OED will perform more rigorous analyses in-house. The Bureau of Student Financial Assistance will be the primary user of the analyses' findings along with Departmental and Congressional staff persons.

Indebtedness to Finance Postsecondary Education: What is Reasonable and What is Not

The study will develop an economic model for determining the reasonableness of accumulated education-loan indebtedness relative to expected post-schooling earnings profiles, household expenditures and the indebtedness necessary to establish professional practice. Using existing data current indebtedness levels will be estimated and future indebtedness levels simulated. The reasonableness of these indebtedness levels will be evaluated in terms of projected earnings and expenditure profiles. The study will require approximately one-and-one-half man years of professional effort and 43 weeks to complete.

Sources of Evaluation Data:

Touche, Ross and Company, Washington, D. C., Study of Requirements for Forming State Guarantee Agencies, July, 1979.

Cresap, McCormick, and Paget, Washington, D. C., Study of Selected Institutions and Borrowers Participating in FISLP, September, 1979.

Cooperative Institutional Research Project (CIRP), 1978 Report

Program files, Bureau of Student Financial Assistance, U.S. Office of Education

For further information about program operations,

Contact: David Bayer, 245-9717

For further information about studies of program effectiveness,

Contact: Daniel Morrissey, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Health Education Assistance Loan Program

Legislation:

Title VII-C, Health Professions Educational Assistance Act of 1976, enacted by Public Law 94-484; amended by Public Laws 95-83 and 95-215.

Expiration Date:

September 30, 1984

Funding History:	Year	Authorization	Appropriation
	1978	$1,500,000	$ - 0 -
	1979	indefinite	2,500,000*
	1980	indefinite	-----
	1981	indefinite	-----

Program Goals and Objectives:

The purpose of the HEAL program is to provide Federally insured loans to graduate students attending eligible schools or former students of such eligible schools of medicine, osteopathic medicine, dentistry, veterinary medicine, optometry, podiatry, pharmacy, or public health. The loans are made by participating lenders, including banks, credit unions, savings and loan associations, and HEAL schools, and the loans are insured against the borrower's default, death, total and permanent disability, and bankruptcy by the Federal goverment.

Program Operations:

To be eligible for a HEAL loan a student must be a U.S. citizen or permanent resident, enrolled or accepted for enrollment in an eligible institution, pursuing a full-time course of study, and in "good standing" as determined by the school's policies. In addition, pharmacy students must have completed 3 years of training. Also, a loan is insured if made to an individual who had an HEAL loan and is in an authorized deferment period may receive an HEAL loan solely for repayment of interest on his HEAL loans. Additionally, borrowers cannot receive HEAL loans during the same academic year they receive Guaranteed Student Loans or Federally Insured Student Loans (Part B, Title IV, Higher Education Act).

Eligible borrowers (with the exception of pharmacy students) can borrow up to $10,000 per academic year to a total of $50,000 outstanding. Pharmacy students were limited to $7,500 per academic year to a total of $37,500 for borrowers who are or were students. The loan amount may not exceed the borrower's tuition costs plus $2,500.

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*Borrowing authority to remain available without Fiscal Year limitation.

A student is required to begin repayment of the loan to the lender between nine and twelve months after completing his internship or residency training program or after discontinuing a full-time academic program at an eligible institution. Borrowers have between 10-15 years to repay a loan, excluding deferment periods. Repayment of the principal is deferred during the borrower's full-time study at a HEAL program school. A deferment of up to three years will be granted for: participation in an accredited internship or residency program, service in the Armed Forces, service as a volunteer in the Peace Corps or VISTA, membership in the National Health Service Corps or full-time study at an institution eligible to participate in the Guaranteed Student Loan Program. The loan may not be outstanding for more than 23 years from the date of disbursement of the loan exclusive of deferment periods.

The statute provides for two types of charges for a Health Education Assistance Loan. Interest, at a rate prescribed by the Secretary, but not to exceed 12 percent per annum on the unpaid principal balance of the loan, is to be paid by the borrower. There is no Federal interest subsidy on HEAL loans but interest payments may be deferred before the beginning of the repayment period, while a student is in an authorized deferment period or during authorized period of forebearance of payment of principal. These deferments of interest must cease not later than the date on which repayment of the first installment of principal is due, or the date repayment of principal is required to resume. This accrued interest may be added to the principal. Secondly, there is an insurance premium not to exceed two percent per year to be charged in advance to cover the period from disbursement until nine months after the student's anticipated graduation date.

The Secretary may enter into an agreement with the borrower to assume the borrower's repayment obligation for not more than $10,000 in any 12 month period toward the principal and interest due on a loan if the borrower agrees to serve as either a member of the National Health Service Corps or in private practice in a health manpower shortage area.

Participating health professions schools must be legally authorized within a State to train members of the medical professions and accredited by a recognized body approved for such purposes by the Commissioner of Education. A new school which (by reason of no, or an insufficient period of operation) is not, at the time of application for insurance of a loan eligible for accreditation by such a recognized body, shall be deemed accredited if the Commissioner finds that there is a reasonable assurance that the school will meet the accreditation standards of such body prior to the beginning of the academic year following the normal graduation date of the first entering class in such school.

Program Scope:

The Health Education Assistance Loan program has been operational with regulations in effect since September 15, 1978. As of July 1, 1980, cumulative loans numbering 2165 and totalling $16,750,764 have been guaranteed for graduate students attending schools of medicine, osteopathy, dentistry, veterinary medicine, podiatry, public health, pharmacy and optometry. The average loan is $7,737. The breakdown of the loan distribution is as follows:

Discipline	Number of Loans	Percent of Total	Dollar Total	Dollar Percent	Dollar Average Loan
Medicine	885	40.92%	$6,626,481	39.60%	$7,487
Osteopathy	124	5.77%	$1,101,377	6.62%	$8,882
Dentistry	560	25.91%	$4,414,993	26.40%	$7,883
Veterinary Medicine	69	3.23%	$ 348,765	2.13%	$5,054
Optometry	42	1.98%	$ 313,962	1.92%	$7,475
Podiatry	410	18.98%	$3,583,320	21.44%	$8,739
Pharmacy	62	2.91%	$ 290,568	1.78%	$4,686
Public Health	11	0.55%	$ 51,298	0.35%	$4,663
TOTALS	2165	100%	$16,750,764	100%	$7,737

Program Effectiveness and Progress:

The HEAL program was intended to provide substantial assistance in the form of loans to students attending high-cost health profession programs. One measure of program effectiveness is, therefore, the distribution (utilization) of funds by different types of schools.

The percent of total loans and average loan size by discipline is as follows:

Discipline	Percent of Total Loans[1]	Average Loan Size
Medicine	43.4	$7,587
Osteopathy	6.6	$8,608
Dentistry	27.6	$7,826
Veterinary Medicine	1.5	$5,699
Optometry	2.2	$7,377
Podiatry	15.2	$9,019
Pharmacy	3.6	$4,619
Public Health	0.3[2]	$7,166

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[1] FY 1980 loan applications received thru June 30, 1980.

[2] total may not equal 100% because of rounding.

Another measure of program effectiveness is the proportion of eligible health professions schools which have signed participation agreements.

As of July 1, 1980, 143 schools had processed at least one HEAL loan application during the Fiscal Year. Geographical participation is also indicative of the Program's progress to date. Borrowers have come from 37 States, the District of Columbia, and Puerto Rico. The largest number of loans have been made to borrowers from California (184), Illinois (172), Pennsylvania (146), and Tennessee (146). Commerical lenders, however, have not responded strongly to the Program. As of June 30, 1980, only thirteen lenders have participated. Six of these have made fewer than five loans. However, 1227 loans, or 94 percent of all loans made since the inception of the program, have been from two large banks.

Ongoing and Planned Evaluation Studies:

The Office of Education has not evaluated the HEAL program. As part of the authorization for the Department of Education, the HEAL Program has been transferred to the Public Health Service.

Sources of Evaluation Data:

HEAL Program Files, Bureau of Student Financial Assistance

For further information about program operations,

Contact: David C. Bayer, 245-9717

For further information about studies of program effectiveness,

Contact: Daniel Morrissey, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Upward Bound Program

Legislation:

Higher Education Act of 1965. Title IV-A Subpart 4; Public Law 89-329; as amended by Public Law 90-575; as amended by Public Law 91-230; as amended by Public Law 92-318; as amended by Public Law 94-482; as amended by Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1965	1/	1/
	1966	1/	1/
	1967	1/	1/
	1968	1/	1/
	1969	1/	1/
	1970	$ 56,680,000 2/	$29,600,000
	1971	96,000,000 2/	30,000,000
	1972	96,000,000 2/	31,000,000 3/
	1973	100,000,000 2/	38,331,000
	1974	100,000,000 2/	38,331,000
	1975	100,000,000 2/	38,331,000
	1976	100,000,000 2/	38,331,000
	1977	200,000,000 2/	41,500,000
	1978	200,000,000 2/	50,034,000
	1979	200,000,000 2/	61,000,000
	1980	200,000,000 2/	62,500,000
	1981	400,000,000 2/	67,200,000

1/ There were no specific authorizations or appropriations for Upward Bound during these years. This was an OEO agency allocation made from the total appropriations for Title II-A of the Economic Opportunity Act of 1964.

2/ Represents budget authority for all Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers, and the Training Program.

3/ Excludes $4 million supplemental appropriation for Veterans' projects.

Program Goals and Objectives:

The Upward Bound Program is intended for youths from low-income families who have academic potential, but who may lack adequate secondary school preparation, including those students whose inadequate secondary school preparation is a result of severe rural isolation. [4] Without the intervention of the program, these students would not have considered college or other postsecondary education, nor would they have been likely to have gained admission to or successfully completed college or other postsecondary education. The program is designed to generate skills and motivation necessary for success in education beyond high school. The goal of the program, as stated in the regulations, is to increase the academic performance and motivational levels of eligible enrollees so that such persons may complete secondary school and successfully pursue postsecondary education programs.

The General Accounting Office (1974) study of Upward Bound found a lack of measurable objectives that clearly stated the expected end results of the program for student performance. GAO observed that local project objectives were usually vague and did not express in a measurable way changes expected in students' academic skills and motivation.

Program Operations:

Upward Bound looks for the individual with academic potential (a demonstrated aptitude) for postsecondary education, but whose inadequate high school preparation prevents meeting conventional requirements for admission to a college, university, or technical institute. The program is designed to generate skills by means of remedial instruction, altered curriculum, tutoring, cultural exposure, and motivation through encouragement and counseling. In a typical year an Upward Bound student is a resident on a college, university, or secondary school campus for a six- to eight-week summer session. In the academic year he may attend Saturday classes or tutorial/counseling sessions or participate in cultural enrichment activities. During his junior and senior years he explores options for the postsecondary program best suited to his needs.

Upward Bound is a project grant program which works primarily through institutions of higher education to provide educational services to disadvantaged youth. The program is administered through the ED central office. As one of the "TRIO" programs, 47 ED staff manage this program, along with four other programs in the Division of Student Services. The program is forward funded and no matching grants are required of grantees.

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[4] Public Law 96-374 substantially changed the characteristics of eligible youths. Not less than two-thirds of the youths participating in a project must be low-income individuals who are potentially first generation college students and the remaining participants must be either low-income individuals or potentially first generation college students. The description presented reflected Upward Bound in Academic Year 1980-81.

Program Scope:

In Program Year 1978-79, 382 Upward Bound projects were funded (32 Veterans projects are included in these figures). The grants to projects averaged $130,972. Approximately 39,315 students were served by the program. Of these students, 47 percent were males and 53 percent were females. Fifty-nine percent of the clients were black, 11 percent were Hispanic, and 22 percent were white. About 36 percent of the clients were in the twelfth grade of high school, 29 percent in the eleventh grade, 22% in the tenth grade, and the remaining 13 percent were in lower grades or were dropouts.

For FY 1979, 491 proposals reflecting a demand of $79,249,861 were processed. From these proposals, 377 continuation awards and 35 new awards were made. Of the 412 projects, 46 were hosted by two-year/junior colleges, 329 by four-year colleges, 12 by vocational/technical schools, and 24 by agencies. For FY 1980. 539 proposals reflecting a demand of $102,115,276 were received.

Program Effectiveness and Progress:

A recent evaluation of Upward Bound provided the most comprehensive and scientifically accurate statistics about the program. These statistics were based on a national sample of more than 3,400 Upward Bound students in the tenth, eleventh, and twelfth grades and a comparison group of about 2,000 similar students who did not participate in the program.

The following evaluation findings document the impact of the Upward Bound Program:

- Participation in Upward Bound failed to increase the rate of high school completion, given tenth grade entry, beyond the 96 percent rate for all students.
- Upward Bound has a large positive influence on postsecondary entrance. About 91% of the typical UB participants entered some type of postsecondary education while about 70% of comparable nonparticipants entered.
- Upward bound influences the types of institutions entered and the types of individual who enter. Of the students that entered postsecondary education, about 73% of typical UB participants attended a four-year college or university. The comparable rate for nonparticipants was 50%. Indeed, 22% of the nonparticipants attended a vocational technical school in comparison to 9% of typical UB participants.

- Upward Bound has impact on participants' financial aid. Typical Upward Bound participants more frequently received Basic Educational Opportunity Grants (79 percent vs. 59 percent), Supplemental Educational Opportunity Grants (20 percent vs. 8 percent), National Direct Student Loans (27 percent vs. 10 percent) and College Work-Study while taking courses (29 percent vs. 16 percent). Overall, typical Upward Bound participants received an average of $1,428 in grants and $393 in loans as compared with $689 in grants and $300 in loans for nonparticipants.

- Upward Bound has an impact on participants' usage of supportive services. Typical participants used available tutoring and counseling services more frequently than nonparticipants.

- Overall, UB had a large positive effect on student persistence. Summed over all types of schools, typical UB participants maintain their enrollment for about one more term than comparable nonparticipants. Controlling for the type of school attended, UB participants persist slightly longer (i.e. one-fifth of a term) than comparable nonparticipants.

- Summed over all types of schools, typical UB participants earned more credits than comparable nonparticipants. However, after controlling for the type of school attended, typical UB participants earned slightly fewer credits than comparable nonparticipants.

- The grades earned at postsecondary institutions by UB participants were roughly the same, or slightly lower, than those earned by comparable nonparticipants. At four-year colleges and universities, average UB participants and comparable nonparticipants earned grade point averages of about 2.0 (equivalent to a letter grade of C).

Sources of Evaluation Data:

General Accounting Office, Problems of the Upward Bound Program in Preparing Disadvantaged Students for a Postsecondary Education, March 7, 1974, Washington, D. C.

Upward Bound Program files.

Estimates of the Target Populations for Upward Bound and the Talent Search Programs, Volume II of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, 1975.

Evaluation Study of the Upward Bound Program, Volume IV of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, 1976.

Evaluation Study of the Upward Bound Program: A First Follow-Up, Research Triangle Institute, Research Triangle Park, North Carolina, 1977.

Evaluation Study of the Upward Bound Program: A Second Follow-Up, Research Triangle Institute, Research Triangle Park, North Carolina, 1979.

For further information about program operations,

Contact: Richard Sonnergren, 426-8960

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Talent Search Program

Legislation:

Higher Education Act of 1965. Title IV-A, Subpart 4; Public Law 89-329; as amended by Public Law 90-575; Public Law 91-230; Public Law 92-318; Public Law 94-482; Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1966	1/	$2,000,000
1967	1/	2,500,000
1968	1/	4,000,000
1969	$ 10,000,000	4,000,000
1970	56,680,000 2/	5,000,000
1971	96,000,000 2/	5,000,000
1972	96,000,000 2/	5,000,000
1973	100,000,000 2/	6,000,000
1974	100,000,000 2/	6,000,000
1975	100,000,000 2/	6,000,000
1976	100,000,000 2/	6,000,000
1977	200,000,000 2/	8,900,000
1978	200,000,000 2/	12,454,000
1979	200,000,000 2/	15,300,000
1980	200,000,000 2/	15,300,000
1981	400,000,000 2/	17,600,000

Program Goals and Objectives:

Talent Search projects are designed to identify qualified youths, 3/ including qualified youths residing in areas of severe rural isolation, of financial or cultural need with an exceptional potential for postsecondary educational training and especially such youths who have delayed pursuing

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1/ Such sums as may be necessary.

2/ Represents budget authority for all Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers, and the Training Program.

3/ Public Law 96-374 substantially changed the characteristics of eligible youths. Not less than two-thirds of the youths participating in a project must be low-income individuals who are first generation college students. The description presented reflected Talent Search in Academic Year 1980-81.

postsecondary educational training, and to encourage them to complete secondary school and undertake postsecondary educational training. The program also publicizes student financial aid programs and encourages secondary-school or college dropouts of demostrated aptitude to reenter educational programs. The goal of this program is to (1) increase the rate at which youths of financial or cultural need complete secondary educational programs, (2) decrease the rate of secondary and postsecondary school dropouts, (3) increase the number of secondary and postsecondary school dropouts who reenter educational programs, and (4) increase the postsecondary enrollment rate of youths who have delayed pursuing postsecondary educational training.

The authorizing legislation for the Talent Search Program allows youths from other low-income families, not to exceed one-third of the total served, to benefit from the projects.

Program Operations:

Talent Search is a project grant program which works through institutions of higher education, public and private agencies and organizations to provide services to disadvantaged youth in secondary schools or who are dropouts. The program is managed through the ED central office. As one of the "TRIO" programs, 47 ED staff manage this program along with the four other programs that make up the Division of Student Services. Awards are made competively. The program is forward-funded and no matching grants are required of grantees.

The local projects operate a recruiting effort to identify youths who need the program's services and counsel them about opportunities for furthering their education.

A study of the program showed that all project directors expressed a fundamental philosophic concern with educational opportunites for the minorities and the educationally disadvantaged. Their stated project objectives were two-fold. First, they focused on improving the client group's educational and vocational status and self-perception, and second, on increasing school - and community-awareness of the client group's needs. Given this common base, all projects provided services intended to encourage clients to aspire to postsecondary education.

The number and kinds of services provided clients varied considerably across projects classified by size, ethnicity and location of majority of clients, type of host institution, age, and ED region location. However, all projects generally encouraged the completion of high school and the attainment of a postsecondary education; provided information on educational opportunities and financial assistance; and assisted in the mechanics of applying for admission and financial aid. To a more limited extent, projects provided follow-up activities and assistance to insure that clients actually: enrolled in postsecondary institutions; reached the campus and began their studies; and became adjusted and oriented to the campus.

In receiving these services, about one-sixth of the clients had had only one contact with Talent Search, about one-half had had two to five contacts, and about one-third had had six or more contacts.

Program Scope:

During academic year 1978-79, 131 projects were funded. The grants ranged from $41,841 to $1,084,908 and averaged $95,073 with a cost per client of $74. The projects reported serving 169,022 clients with about 42 percent blacks, 26 percent white, and 32 percent of other ethnicity, such as Native Americans or Mexican-Americans. Approximately 57 percent of these clients were female. About 70 percent were from families with low incomes and approximatley 30 percent were eligible due to cultural need.

For 1979-80, 221 proposals reflecting a demand of $25,233,382 were processed. From these proposals, 129 continuation awards and 24 new awards were made. Of the 153 projects, 16 were hosted by two-year/junior colleges, 63 by four-year colleges, 4 by vocational/technical schools and 70 by agencies. For 1980-81, 281 proposals were received. In total, these proposals requested $37,028,913.

Program Effectiveness and Progress:

In the 1978-79 academic year, 60,411 clients were placed in postsecondary education with an additional 48,282 accepted, but not yet enrolled. Approximately 6,647 actual or potential dropouts were persuaded to return to school or college.

The 1975 evaluation of the Talent Search Program shows that, given the fuzzy definition of the target population and the lack of measurable objectives, virtually any person requesting assistance was served--most of whom were determined to be eligible by virtue of low income and related criteria.

The study assessed project files to determine their adequacy. The content and organization of the client record files varied considerably across projects. Files in certain projects were comprehensive and complete and data were collected and filed in an organized manner, whereas the files in other projects contained little information, often collected and filed in a haphazard fashion. Most files generally contained such basic descriptive data as the client's age, sex, ethnicity, and grade level. However, data critical to determining a client's eligibility for the program, his application for and attainment of financial aid or postsecondary admission, his strengths and weaknesses, and his achievement of other Talent Search objectives were often incomplete or missing.

The limited degree to which these kinds of information were recorded in the client files, and survey findings of the postsecondary status of former clients, made it difficult to assess the effectiveness of Talent Search counseling services and follow-up activities. Approximately three-fourths of the students reported by the projects to have enrolled in postsecondary institutions between July 1 and December 31, 1973, had actually enrolled. And about three-fourths of these verified enrollees were still enrolled in the spring of 1974. (Most of those who were not enrolled in the spring had dropped out of their own choice.)

The study of the Talent Search program was descriptive, including a survey of college registrars to validate the postsecondary enrollment of former Talent Search clients. Since it was a descriptive study, without a nonparticipating group of youths similar to those served by the program but who did not have access to the program's services, an assessment of the program's impact on high school retention and college entrance cannot be done. Consequently, it cannot be asserted, based on the study, that the program does or does not place students in college who would not have enrolled without the program's services.

In those cases where improvement in program operations can be made on the basis of the study, they have been included in revised program regulations.

Sources of Evaluation Data:

Descriptive Study of the Talent Search Program, Volume III of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, December 1975.

Estimates of the Target Populations for Upward Bound and the Talent Search Programs, Volume II of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, May 1975.

Program Data.

For further information about program operations,

Contact: Richard Sonnergren, 426-8960

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Opportunity Centers

Legislation:

Higher Education Act of 1965. Title IV-A, Subpart 4; as amended by Public Law 92-318; as amended by Public Law 94-482; as amended by Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:	Year	Authorization 1/	Appropriation
	1974	$100,000,000	$3,000,000
	1975	100,000,000	3,000,000
	1976	100,000,000	3,000,000
	1977	200,000,000	4,000,000
	1978	200,000,000	5,246,000
	1979	200,000,000	6,300,000
	1980	200,000,000	7,700,000
	1981	400,000,000	8,000,000

Program Goals and Objectives:

This program is intended to serve areas with major concentration of low-income populations by providing, in coordination with other applicable programs and services:

information with respect to financial and academic assistance available for persons residing in such areas desiring to pursue a program of postsecondary education;

assistance to such persons in applying for admission to institutions, at which a program of postsecondary education is offered, including preparing necessary applications for use by admission and financial aid officers; and

counseling services and tutorial and other necessary assistance to such persons while attending such institutions.

The centers also are to serve as recruiting and counseling pools to coordinate resources and staff efforts of institutions of higher education and of other institutions offering programs of postsecondary education, in admitting educationally disadvantaged persons.

1/ Represents budget authority for all Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers, and the Training Program.

While the legislated goals of the Talent Search, Upward Bound and Special Services programs are aimed at individuals in need of project services, the Educational Opportunity Centers are designed to serve residents of major areas with a high concentration of low-income populations. 2/ Consequently, any resident of a funded area is eligible to receive project services. This broad mandate, without the restrictions of age, income, and disadvantaged cultural or educational backgrounds characteristic of the other Special Programs, offers more latitude to the project to deal with the educational needs of a geographic area without restrictions.

Program Operations:

The Department of Education's central office awards Educational Opportunity Center Program grants on a cost-sharing basis paying up to 75 percent of the cost of establishing and operating a center, to approved postsecondary institutions, or public and private agencies and organizaitons. Awards, which are forward-funded, are made competitively. As one of the "TRIO" programs, 47 ED staff manage this program a long with the four other programs which make up the Division of Student Services.

The Centers operate a recruiting effort to identify persons who need the program's services and to counsel them about opportunities for furthering their education. The Centers also provide remedial and tutorial services to students enrolled or accepted for enrollment in postsecondary schools.

Program Scope:

In FY 1978, 22 funded projects provided various forms of counseling and assistance to 69,159 participants. The grants ranged from $102,906 to $386,100 and averaged $238,469. The average cost-per-participant was $75.86.

I. Total participants by ethnicity.

American Indian	1,585	2%
Black	26,306	38%
Hispanic	10,892	16%
White	24,647	36%
Other/Not Reported	5,729	8%
TOTAL	69,159	100%

II. Total participants by sex.

Male	28,110	41%
Female	38,522	56%
Not Reported	2,527	3%
TOTAL	69,159	100%

2/ Public Law 96-374 focused the Educational Opportunity Program on adults (at least nineteen years of age) who are low-income and potentially first generation college students. The description presented reflected the program in Academic Year 1980-81.

III. Total participants by age.

Under 18	18,070	26%
18 - 24	29,709	43%
25 and over	18,408	27%
Not Reported	2,972	4%
TOTAL	69,159	100%

For FY 1979, 73 proposals reflecting a demand of $17,056,626 were processed. From these proposals, 22 continuation awards and 10 new awards were made. For FY 1980, 93 proposals reflecting a demand of $27,661,387 have been received.

Program Effectiveness and Progress:

An evaluation has not been conducted. Program data for FY 1978 show that 19,515 participants were placed in postsecondary schools or other types of training programs, and 4,630 participants had been accepted by a postsecondary institution but had not yet begun their studies.

Ongoing and Planned Evaluations:

None

Sources of Evaluation Data:

Reports by the center to the program manager.

For further information about program operations,

Contact: Dick Sonnergren, 426-8960

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Services for Disadvantaged Students in Institutions of Higher Education

Legislation:

Higher Education Act of 1965. Title IV-A, Subpart 4; Public Law 89-329; as amended by Public Law 90-575; as amended by Public Law 91-230; as amended by Public Law 92-318; as amended by Public Law 93-380; as amended by Public Law 94-482; as amended by Public 96-374.

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization 1/	Appropriation
1970	$ 56,680,000	$10,000,000
1971	96,000,000	15,000,000
1972	96,000,000	15,000,000
1973	100,000,000	23,000,000
1974	100,000,000	23,000,000
1975	100,000,000	23,000,000
1976	100,000,000	23,000,000
1977	200,000,000	30,637,000
1978	200,000,000	45,265,000
1979	200,000,000	55,000,000
1980	200,000,000	60,000,000
1981	400,000,000	64,700,000

Program Goals and Objectives:

The Special Services program is designed to provide remedial and other special services for youths 2/ from low-income families with academic potential, but who may be disadvantaged because of severe rural isolation who (1) are enrolled or accepted for enrollment at an institution of higher education which is a beneficiary of a grant or contract and (2) by reason of deprived educational, cultural, or economic background, or physical handicap, or limited English-speaking ability, are in need of such services to assist them to initiate, continue, or resume their postsecondary education. The goal of this program is to increase the retention and graduation rates of such students.

1/ Represents budget authority for all Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers, and the Training Program.

2/ Public Law 96-374 substantially changed the characteristics of eligible youths. Not less than two-thirds of the youths participating in a project must be physically handicapped or low-income individuals who are first generation college students. The description presented reflected the Special Services program in Academic Year 1980-81.

Program Operations:

Special Services is a project grant program making awards to institutions of higher education to provide remedial or bilingual educational teaching, guidance, and/or counseling services for students with an educationally, culturally, or economically deprived background, or physical handicap or limited English-speaking ability. The program is forward-funded and no matching funds are required by the grantee institutions. The program is administered through the ED central office. As one of the "TRIO" programs, 47 ED staff manage this along with the four other programs that make up the Division of Student Services. Awards are made competively.

At the institution level, a Special Services program is defined as a separately budgeted formal or structured body of activity by the institutions for enrolled students, which is not routinely available to or appropriate for the typical entering student, but is directed toward the more disadvantaged students. Recipients of grants from this program who serve students of limited English-speaking ability must include in their curriculum a program of English language instruction for such students.

Program Scope:

In FY 1978, 491 projects were funded. The grants ranged from $23,492 to $281,958 and averaged $92,182. The average cost per student was $306. The projects reported serving 147,648 students. Approximately 42 percent of the clients were black, about 33 percent were white, and about 17 percent were Hispanic. Approximately 57 percent of the clients were female. Approximately 8 percent of the clients were culturally disadvantaged, 36 percent were educationally disadvantaged, 7 percent were physically disabled, and 5 percent were of limited English-speaking ability, and the remaining 44 percent of the clients were eligible based on the low-income criteria.

For 1979-80, 728 proposals reflecting a demand of $84,022,953 were processed. Of these, 485 continuation and 72 new awards were made. Of the 557 projects, 142 were hosted by two-year/junior colleges, 373 by four-year colleges, 27 by vocational/technical schools, and 15 by agencies. For 1980-81, 793 proposals reflecting a demand of $114,310,863 were received.

Program Effectiveness and Progress:

Program records show that in FY 1978 (program year 1978-79), 147,648 students participated in the Special Services program. Of this number, 16,719 students showed adequate academic and personal adjustment and moved out of the program into the regular academic channels of the host institutions; 7,704 graduated from the host institutions, and 3,615 left the host institutions to transfer to other colleges.

A 1975 study of postsecondary programs for disadvantaged students (both Federally or non-Federally supported) revealed that being disadvantaged is much more than a financially determined phenomenon. There are greater differences among students of different ethnic classification within the low-income group than there are between poverty-level and model (typical) students within the same ethnic classification. Differences between physically handicapped students and modal students are relatively minor--except for the physical disability. Between the poverty-level and modal students, the study did not find substantial differences by major field of study, content of freshman courses taken, or relative difficulty with such courses. Most students in the study were in their first or second year, and differences in these areas may show up later in their college careers.

As expected, the poverty-level students reported a higher degree of participation in the services offered by these programs than did the modal students. This differential participation was particularly large in professional counseling and assistance on financial problems but was also greater for: tutoring by students and professors, professional counseling on career choices, remedial courses and courses on reading skill development, programs to improve writing and number skills, reduced course load, professional counseling for personal and academic problems, and several other areas.

Although substantial positive changes occurred among recipients of these services in attitudes, values, and motivation, there was little indication of impact of the services on academic achievement. Disadvantaged students did not reduce the gap in college grade point average between themselves and the regularly admitted (modal) students, differences between high school and college grades for the two groups remaining approximately the same. The college environment, while not tending to magnify previous differences in academic achievement, does not appear to be compensating for such differences. Overall, the academic success of disadvantaged students at institutions with Special Services Programs was no greater, and no less, than at colleges without such programs. This outcome was not affected by any differential emphasis upon specific programmatic elements, such as tutoring or counseling.

A 1974 review of research on the effectiveness of secondary and higher education intervention programs for disadvantaged students found that such programs at the postsecondary level have had some positive impact upon program participants. These programs appear to have been somewhat effective in increasing retention of disadvantaged youth in college. In some instances, academic achievement appears to have been improved, but still remained below institutional averages for regularly admitted students.

Ongoing and Planned Evaluation Studies:

Evaluation of the Special Services for Disadvantaged Students Program

The major purpose of this study is to evaluate the impact of participation in Special Services for Disadvantaged Students project activities on student's educational performance and progress. Issues of impact upon the hosting institution and project staff will also be addressed.

The study began in fall 1978 and will be completed by winter 1981.

Sources of Evaluation Data:

Program files.

Programmatic Attention to "Disadvantaged" Students by Institution of Higher Education in the United States: A Census for 1971-72, Educational Testing Service, Princeton, New Jersey, April 1973.

The Impact of Special Services Programs in Higher Education for "Disadvantaged" Students, Educational Testing Service, Princeton, New Jersey, June 1975.

Vincent Tinto and Roger H. Sherman, The Effectiveness of Secondary and Higher Education Intervention Programs: A Critical Review of the Research, Teachers College, Columbia University, September 1974.

For further information about program operations,

Contact: Richard Sonnergren, 426-8960

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Veterans' Cost-of-Instruction Program

Legislation:	Expiration Date:
Section 420 of the Higher Education Act of 1965; as amended by Public Law 92-318; as amended by Public Law 93-380; Public Law 94-482; Public Law 95-336; Public Law 96-374. 1/	September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1973	Indefinite	$25,000,000
	1974	"	23,750,000
	1975	"	31,250,000 2/
	1976	"	23,721,000
	1977	"	23,750,000
	1978	"	23,750,000
	1979	"	19,000,000
	1980	"	14,380,000
	1981	"	12,039,000

Program Goals and Objectives:

The Veterans' Cost-of-Instruction Program is intended to provide improved and expanded services to veterans attending institutions of higher education. These services include recruitment, counseling, special education programs, and outreach activities. Implicit within the design of the program is the objective of encouraging institutions of higher education to expand and maintain enrollments of veterans.

Program Operations:

Institutions of postsecondary education, other than schools of divinity and proprietary institutions, may receive assistance under this program if the applicant satisfies eligibility criteria related to the enrollment of undergraduate veterans. To enter the program, institutions must have a minimum of 25 enrolled veterans. An institution entering the program must also show that its veteran enrollment represents 110 percent of the previous year's veteran enrollment or that its veteran enrollment constitutes ten percent of the total number of undergraduates at the institutions. To remain eligible to participate in the program, an institution must maintain its veteran enrollment at 100 percent of the previous year's enrollment. On May 31, 1976, post-Korea veterans lost their eligibility for educational benefits under the G.I. Bill. The

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1/ Public Law 96-374 will significantly after the program. Eligibility and payment factors (e.g. the maximum award was lowered from $135,000 to $75,000) were changed. The descriptions presented reflect the program is Academic Year 1980-81.

2/ Includes a supplemental appropriation of $7.5 million.

Education Amendments of 1976 allowed these institutions to subtract the number of veterans affected by this termination of eligibility from their previous requirement enrollment figure, thus allowing more institutions to maintain eligibility in the program. An amendment attached to the Alcohol and Drug Abuse Education Amendments of 1978 provided for two additional methods whereby participating institutions can retain eligibility to continue in the program. The first method uses a ratio criterion which allows an institution to be eligible if the decline in its veteran enrollment, from its first year in the program to the present, is no more than the national average of decline over the same period. If an institution fails to become eligible under this first method, it may be declared eligible upon the Commissioner's determination that the institution is making reasonable efforts to recruit, enroll, and provide necessary services to veterans. This determination is based on evidence presented by the institution and takes into consideration the extent to which the institution falls short of the ratio criterion used in the first method.

Applicants which satisfy one of these eligibility criteria receive cost-of-instruction payments pursuant to two major stipulations. The first is that a minimum of 75 percent of the funds awarded to an institution must be used to establish a full-time Office of Veterans' Affairs, to employ at least one full-time staff member whose sole institutional responsibility is to veterans, and to provide adequate services. These services include (1) programs to prepare educationally disadvantaged veterans for postsecondary education, (2) active outreach, recruiting, and counseling activities through the use of other funds, such as those available under Federally assisted work-study programs, and (3) an active tutorial assistance program, including dissemination of information regarding such program. The second stipulation is that any program funds not used for the above activities must be used solely to defray general academic/instructional expenses--such as instructional salaries, instructional equipment, media equipment, and library materials--and, thus, may be non-veteran related. Instructional expenses cannot exceed 25% of an institution's award. Several exceptions to these stipulations are accorded to small institutions (i.e., those enrolling fewer than 2,500 students and enrolling no more than 70 veterans). Small institutions are required to provide only recruitment and counseling services and to establish a full-time Offices of Veterans' Affairs, which may be staffed by part-time employees who together assume the responsibility of at least one full-time employee. In addition, small institutions also have the option of entering into a consortium agreement with other, comparable institutions, provided that they are in close proximity and that the required services will be available to the veterans on the concerned campuses.

Program funds are disbursed to institutions in three payments. April 16, October 16, and February 16 of each year are referred to as "count dates." At those times, participating institutions are required to count the number of Categories I and II veterans enrolled at the institution. The latter two counts determine the level at which the institution may expend funds during the second (November-February) and third (March-June) award periods.

Determing the amount of the three payments to which a qualified institution is entitled requires the calculation of payment factors, i.e., that amount the institution is to receive for each eligible veteran. This is done by multiplying the total of all qualified applicant institutions' full-time equivalent Category I and II veteran. Eligible veterans attending on less than a one-half time basis are not included in the full-time equivalent counts. Finally a percentage figure, which is determined by comparing program appropriation with entitlement demand, is applied to $300 and $150 to obtain the payment factor for Category I and II veterans respectively. For FY 1973 to FY 1976, this procedure has been done once a year, based on the April 16 count date, and the payments factors derived at that time were used to determine the amount of the annual award and to adjust the award after the October and February count dates. Using a new award adjustment procedure, new payment factors will be calculated after the February count date for each of the three award periods.

An additional limitation on cost-of-instruction payments permits no institution to receive more than $135,000 in any one year. Since the program has not been fully funded, this legislative amendment was added during Fiscal Year 1975 to protect small institutions. To the extent that this limitation makes available funds which would otherwise by apportioned as enormous awards to large institutions, the monies are allotted in such a manner as to ensure that eligible institutions will receive uniform minimum awards of up to $9,000. Should funds still remain available after application of this procedure, they are further distributed to ensure receipt of uniform minimum awards above $9,000--subject to the provision that no institutional awards above $9,000 exceed a cost-of-instruction payment as calculated by the veteran computation procedures described above.

Program management is located centrally, within the Office of Postsecondary Education, by 16 ED staffers.

Program Scope:

Total demand for program funds, as calculated by the veteran enrollment computation procedures, amounted to $123.1 million in FY 1979. Award levels on a per veteran basis were determined through a pro rata reduction based on a full-time equivalency count of veteran enrollment within each of the two award level categories.

The distribution of awards to the 1,070 participating institutions is presented in Table 1.

Table 1

Distribution of Veterans' Cost-of-Instruction Payments Awards for FY 1978

Award	Number	Percent
Under $9,000	416	38.9%
$9,001-$20,000	340	31.8%
$20,001-$35,000	180	16.8%
$35,001-$50,000	72	6.7%
$50,001-$75,000	41	3.8%
$75,001-$100,000	15	1.4%
$100,001-$125,000	6	.6%

Program Effectiveness and Progress:

No impact evaluations of the Veterans' Cost-of-Instruction Program have been conducted. A descriptive analysis of program data for Academic Year 1975-76 was recently completed. Based upon requests of this study, the distribution of services and average staffing patterns are presented in Tables 2 and 3.

As can be seen from Table 2, various forms of counseling (except for financial counseling) are available at reasonably high rates. However, the availability of services such as job placement and remedial courses appear to be directly related to the level of VCIP Project funding. The staffing patterns (as presented in Table 3) reveal increments in staff sizes located at $50,000 and $100,000 funding levels. A large proportion of the increases associated with projects funded at more than $50,000 were attributable to additional secretarial and clerk positions.

Ongoing and Planned Evaluation Studies:

Adescriptive study of program operations, nature and scope of clients served, and program data collected, etc., was completed. The final report is available.

Sources of Evaluation Data:

Program files.

Evaluation of the Veterans' Cost-of-Instruction Program, Research Triangle Institute, Research Triangle Park, North Carolina, 1978.

Table 2

Activities Reported by VCIP Projects in AY 75-76

	Size of Award							
Activity	$1 - $5,500	$5,500- $9,000	$9,000- $25,000	$25,000- $50,000	$50,000- $75,000	$75,000- $100,000	$100,000- $135,000	Total
Personnel Counseling	64%	74%	69%	81%	83%	82%	92%	73%
Family Counseling	44%	52%	52%	73%	63%	82%	46%	56%
Career Counseling	55%	80%	68%	82%	88%	88%	77%	72%
Educational Counseling	69%	76%	74%	86%	92%	88%	92%	78%
Financial Counseling	28%	17%	27%	34%	46%	29%	15%	28%
Job Placement	14%	20%	29%	28%	38%	41%	23%	26%
Remedial Mathematics	17%	22%	36%	37%	29%	53%	62%	32%
Remedial English	18%	22%	36%	38%	33%	47%	62%	33%
Remedial Reading	18%	26%	36%	35%	29%	24%	54%	31%
Tutoring Service	74%	78%	76%	74%	75%	76%	90%	78%
Study Center	11%	20%	27%	45%	25%	29%	23%	26%

Table 3

Average FTE Staffing Patterns Reported by VCIP Projects for AY 75-76

	Size of Award						
Staff Position	$1 - $5,500	$5,500- $9,000	$9,000- $25,000	$25,000- $50,000	$50,000- $75,000	$75,000- $100,000	$100,000- $135,000
Full-Time OVA Person	.6	.7	.7	.7	.8	.8	.7
Coordinator	.3	.3	.3	.3	.5	.6	.6
Counselor	.2	.1	.3	.6	1.8	1.1	2.0
Outreach Worker	.1	.2	.3	.4	.9	.6	1.2
Recruiter	.1	.1	.2	.1	.2	.4	1.7
Secretary	.2	.2	.5	.9	.9	1.3	2.5
Clerk	.1	.1	.2	.5	1.5	1.7	3.2
TOTAL	1.6	1.6	2.7	3.7	6.8	6.7	11.9

For further information about program operations,

Contact: Stanley Patterson, 245-2806

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Information Centers

Legislation:	Expiration Date:
Title IV, Subpart 5 of the Higher Education Act of 1965 as amended by Public Law 94-482; as amended by Public Law 96-374.	September 30, 1985

Funding History: Year	Authorization	Appropriation
1977	$20,000,000	$ 0
1978	30,000,000	2,000,000
1979	40,000,000	3,000,000
1980	40,000,000	3,000,000
1981	40,000,000	3,000,000

Program Goals and Objectives:

The purpose of the Educational Information Centers program is to provide services to all individuals in a State through Centers located within a reasonable distance of all residents. Their services include:

> information and talent search services designed to seek out and encourage participation in full-time and part-time postsecondary education or training of persons who could benefit from such education or training if it were not for cultural or financial barriers, physical handicap, deficiencies in secondary education, or lack of information about available programs of financial assistance;
>
> information and referral services to persons within the areas served by the Center, including such services with regard to:
>
> -- postsecondary education and training programs in the region and procedures and requirements for applying and gaining acceptance to such programs;
>
> -- available Federal, State, and other financial assistance, including information on procedures to be followed in applying for such assistance;

- -- available assistance for job placement or gaining admission to postsecondary education institutions including, but not limited to, such institutions offering professional, occupational, technical, vocational, work-study, cooperative education, or other education programs designed to prepare persons for careers, or for retraining, continuing education, or upgrading of skills;
- -- competency-based learning opportunities, including opportunities for testing of existing competencies for the purpose of certification, awarding of credit, or advance placement in postsecondary education programs;
- -- guidance and counseling services designed to assist persons from the area served by the Center to identify postsecondary education or training opportunities, including part-time opportunities for individuals who are employed, appropriate to their needs and in relationship to each individual's career plans; and
- -- remedial or tutorial services designed to prepare persons for postsecondary education opportunities or training programs, including such services provided to persons enrolled in postsecondary education institutions within the area served by the Center.

Program Operations:

Each fiscal year, each State which has submitted an approved plan receives funds in an amount which bears the same ratio to the appropriation as the population of the State bears to the total population. No State receives less than $50,000. Each State receiving funds makes grants to and contracts with institutions of higher education, combinations of such institutions, public and private agencies, and local educational agencies for the purpose of planning, establishing, and operating Educational Information Centers. The Federal share of the cost of planning, establishing, and operating Educational Information Centers for any fiscal year is 66 2/3 percent, and the non-Federal share may be in cash or in kind.

Plans and annual amendments to the plans are submitted by the States. Each State is responsible for fiscal control and fund accounting procedures as may be necessary for each Center.

Program Scope:

In FY 1980, 49 States and 5 territories received awards Kansas did not participate in the program. The commonwealth of the Northern Marcana Islands and the Trust Territory of the Pacific Islands elected to use their allotments in the consolidated grant. Forty-seven awards were for the minimum amount of $50,000. The following awards were also made:

California	$127,813	Ohio	$ 61,472
Illinois	$ 64,370	Pennsylvania	$ 67,377
Michigan	$ 52,588	Texas	$ 74,732
New York	$101,648		

Currently the States have made varying degress of progress toward implementing on Educational Information Center. While some States are still planning, the majority have begun to implement some activities. For example, 18 States have established toll free telephone information services.

Program Effectiveness:

A limited amount of information is available in the annual reports concerning program effectiveness during the first two years of program planning and operation. This limited information indicates that the operating programs have been providing information and services to clients.

Sources of Evaluation Data:

Program Files, Bureau of Higher and Continuing Education.

For further information about program operations,

Contact: Charles Griffith, 245-2671

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Training Program for Special Programs Staff and Leadership Personnel

Legislation:	Expiration Date:
Higher Education Act of 1965 as amended by Section 124 (c) of Public Law 94-482; as amended by Public Law 96-374.	September 30, 1985

Funding History: Year	Authorization 1/	Appropriation
1978	$200,000,000	$2,000,000
1979	200,000,000	2,400,000
1980	200,000,000	2,000,000
1981	400,000,000	2,000,000

Program Goals and Objectives:

The Training Program for Special Programs Staff and Leadership Personnel is designed to provide training for staff and leadership personnel who will specialize in improving the delivery of services to students assisted by the Special Services, Upward Bound, Talent Search, and Educational Opportunity Centers programs. The authorizing legislation encourages a focus for the Training Program to include the development of individualized programs for disadvantaged students.

Program Operations:

The Training Program awards contracts 2/ to support the operation of short-term training institutes and in-service training programs to improve the skills of staff and leadership personnel. Proposals are requested from institutions of higher education and other public agencies and non-profit private organizations. The program is forward-funded and contracts are awarded competitively. As one of the "TRIO" programs, 47 ED staff manage the program.

1/ Represents budget authority for all the Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers, and the Training Program.

2/ Public Law 96-374 authorizes grants rather than contracts.

Program Scope:

In FY 1978, a contract to conduct the training for Special Programs staff and leadership personnel was awarded to Atlanta University, Atlanta, Georgia in the amount of $2,000,000. In total 28 training sessions were provided for 1,361 Special Program staff from 502 projects. Sessions were held in Hartford, Minneapolis, Denver, Portland, Los Angeles, Cincinnati, Atlanta, and Washington. Topics covered in the sessions were leadership development, management, and project design.

In FY 1979, the remaining $340,000 in the contract with Atlanta University were being used for training sessions oriented toward the needs of the physically handicapped (SSDS) and career education (TS and EOC). In addition, contracts were awarded to Marquette University ($400,000) for leadership training sessions, the University of Colorado ($1,200,000) for training in instructional and counseling techniques, and Atlanta University ($800,000) for management and evaluation training sessions.

Program Effectiveness:

Based on 315 follow-up visits to staff participating in the training provided by Atlanta University, about three-fourths of the projects attributed some programmatic change to the training. Furthermore, about 85 percent of the staff participating in the training reported aquiring skills which would enable them to function more effectively in their present positions.

Sources of Data:

Program files, Office of Postsecondary Education.

Final Report: Training Program for Special Programs Staff and Leadership Personnel, National Center for Leadership Development, Atlanta University, 1979.

For further information about program operations.

Contact: Dick Sonnergren, 245-6664

For further information about program effectiveness

Contact: Robert H. Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Strengthening Developing Institutions Program (SDIP)

Legislation:

Higher Education Act of 1965, Title III, Public Law 89-329, as amended; extended by Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1966	$ 55,000,000	$ 5,000,000
1967	30,000,000	30,000,000
1968	55,000,000	30,000,000
1969	35,000,000	30,000,000
1970	70,000,000	30,000,000
1971	91,000,000	33,850,000
1972	91,000,000	51,850,000
1973	120,000,000	87,350,000
1974	120,000,000	99,992,000
1975	120,000,000	110,000,000
1976	120,000,000	110,000,000
1977	120,000,000	110,000,000
1978	120,000,000	120,000,000
1979	120,000,000	120,000,000
1980	120,000,000	110,000,000
1981	120,000,000	120,000,000

Program Goals and Objectives:

The program objective is to provide assistance to developing institutions of higher education which demonstrate a desire and a potential to make a substantial contribution to the higher education resources of the Nation but which, for financial and other reasons, are struggling for survival and are isolated from the main currents of academic life. The original legislative hearings identified approximately 110 historically black colleges as a specific set of institutions which, for more than financial reasons were struggling for survival and, therefore, appropriate candidates for program support. Specific program objectives include efforts to improve the quality of curriculum, faculty, student services, administration, and other general areas of institutional operations. Since its inception, the program has included both two- and four-year institutions enrolling substantial numbers of students from low-income families as well as representatives of minority populations. Almost a thousand colleges and universities are eligible to apply to the Title III program based on average BEOG awards and E&G expenditures.

The program goal is to provide such supplementary financial assistance as may be necessary to allow developing institutions to move into "the mainstream of American higher education" so that they might, on the basis of offering an education of good quality, reasonably compete for students and external financial resources.

Program Operations:

Developing institutions are defined in the legislation as institutions of higher education which: (1) provide an educational program which awards an A.A. or a B.A. degree, (2) are accredited by a nationally recognized accrediting agency or association, or making reasonable progress toward such accreditation, (3) have satisfied both of the above requirements during the five academic years preceding the academic year during which program assistance would be provided--with the exception that the five-year stipulation may be waived for institutions which serve to increase the higher education available to Indians. In addition, three of the five years may be waived for institutions serving substantial numbers of Spanish-speaking persons, (4) admit as regular students only persons having a certificate of graduation from a high school providing secondary education or the recognized equivalent of such a certificate, (5) are public or non-profit, and (6) meet such other requirements as may be prescribed by regulations. The law requires that such prescriptions include an indication that the institutions participating in the program are: (a) making a reasonable effort to improve the quality of their teaching and administrative staffs and student services programs and (b) for financial or other reasons are struggling for survival and isolated from the main currents of academic life.

During Fiscal Year 1979, new regulations were adopted which changed the eligiblity criteria. Because the eight quantitative and three qualitative criteria previously used were not successful in identifying institutions which the program was designed to strengthen, two new quantitative criteria replaced the old measures, resulting in a simpler eligibility process.

Institutional Eligibility:

Institutional eligibility is now determined by considering the size of its average Basic Educational Opportunity Grant (BEOG) award per full-time undergraduate student. This criterion is a measure of the institution's service to low-income students, and is given double weight. The second criterion is the institution's cost per full-time equivalent undergraduate student in educational and general expenditures, which is a measure of the institution's financial health.

In order to ease the transition process between the former and the new regulations, all institutions which received Title III funds in FY 1978 were permitted to apply in 1979 irrespective of their ability to meet the new eligibility criteria as long as those regulations are in effect.

Type of Grant:

In all instances, a developing institution is the grantee even when bilateral or consortium arrangements with other agencies are used. A bilateral arrangement may involve many assisting institutions and/or agencies, however, the 1980 appropriation law limited funding of more than one non-profit agency. So far, the 1981 appropriation law does not impose this limitation.

Grant Review:

Institutions qualified as developing must submit a proposal that includes the following three sections; 1) institutional narrative, 2) activity narratives, and 3) budgets. The institutional narrative is to include; 1) mission and goals of the institution, 2) student characteristics and 3) the long-range plan which includes long and short range goals, planned activities, criteria for measuring progress, time schedules, resources needed, and procedures to be used to monitor the progress. There are four program areas within which activities can be funded; academic, administrative and management, student services and fiscal stability. The proposals are reviewed and rated on the basis of the entire proposal. The criteria are "to what extent does the applicant's mission and goals reflect its constituents needs," "to what extent does the size, scope, and duration of proposed activities contribute to the stated goals," and "to what extent is the proposed cost realistic." If the proposals exceed an average rating of 50 points, then the proposal is rated on program priorities. The important program priorities are "strengthen the academic program for low-income and minority students," and "contribute to the long term stability of the institution." 1/ Grantees are expected to submit annual progress reports, yearly evaluation reports prepared by a third party. Site visits by staff are conducted as funds permit.

Program Scope

In total from FY 1966 to FY 1980, over $1.1 billion has been appropriated for this program. Three distinct funding strategies were used over this period. They are summarized below.

> The Basic Grant Strategy - FY 1966 to FY 1972 -- Total Funding, $210.7 million. Number of participants ranged from 158 to 556. Activities were funded on a project by project basis usually for one year and judged in the same manner. See Table I for more details on participants.
>
> The Basic and Advanced Grant Strategy - FY 1973 to FY 1978 -- Total Funding $637 million; $311 million for the Basic Program; and $326 million for the Advanced Program.
>
> The Advanced Program projects were selected and judged as they related to the institutions' development plan. See Tables 2 and 3 for more details on participants.

1/ To a large extent changes in the institutional eligibility procedures and grant review process were due to suggestions made as a result of both USOE and GAO studies.

The Combined Strategy - FY 1979 to FY 1980 -- Total funding, $230 million. All institutions are required to have a development plan. Projects funded must relate to the plan and are judged on the basis of their contribution to its implementation. (See Table IV for more details on participants.)

Program Effectiveness and Progress:

Institutional activities funded have been wide and varied. Information available for the Advanced Institutional Development Program indicates support for 1,908 activities at 165 institutions. The ten most frequently funded activities, ranked by frequency for 1973-1978 are shown in Table V. Some of the findings from previous studies are:

- Institutions receiving support under Title III are generally successful in obtaining support from other sources.
- There are significantly positive correlations between the amount of Title III award and tuition and fees, State and local funding, and sponsored research for public institutions.
- For private institutions Title III funding had significant positive correlations with private gifts and other sources of Federal income.
- No meaningful relationship was found between the level of Title III award and endowment or other educational and general income.
- There is no evidence to suggest that Title III funding has been substituted for funding from other sources. 2/
- Correlation, however, does not imply causality. Therefore, it cannot be determined whether institutions which successfully acquire other funds also successfully acquire Title III funds, or whether receipt of Title III funds enables institutions to acquire other funds.

Ongoing and Planned Evaluation Studies

The Financial Distress of Postsecondary Institutions

The primary objective of this study expected to be completed in early 1981 is to develop financial indicators that would guide policy decisions and help us respond to suggested Federal policy regarding financial aid to distressed postsecondary institutions.

Title III Evaluability and Impact Assessment

The first phase of this new study which began in late 1980, will provide program mangers with detailed information on a measurable set of program objectives and suggestions for improving program operations. The second phase, which will be based upon a set of case studies, will provide documented information on the impact of Federal funds on program activities at the institution level. It is scheduled for completion in late 1982.

2/ This is exclusive of institutions serving large numbers of black students, which do not have predominantly black student bodies or programs for Spanish-speaking students at non-predominantly Spanish-speaking institutions.

Sources of Evaluation Data:

A Study of Title III of the Higher Education Act: The Developing Institutions Program, Center for Research and Development in Higher Education, University of California--Berkeley, January 1974.

Assessing the Federal Program for Strengthening Developing Institutions of Higher Education, General Accounting Office, October 31, 1975.

Program files, Division of Institutional Development, Bureau of Higher and Continuing Education.

The Development of Institutions of Higher Education: Theory and Assessment of Impact of Four Possible Areas of Intervention Plus Technical Appendices, Harvard Graduate School of Education, Cambridge, Massachusetts, January 1977.

For further information about program operations,

Contact: Richard Fairley, 755-1254

For further information about studies of program effectiveness,

Contact: Sal B. Corrallo, 245-7884

Table I
TITLE III, HIGHER EDUCATION ACT OF 1965 STRENGTHENING DEVELOPING INSTITUTIONS BASIC INSTITUTIONAL DEVELOPMENT PROGRAM

COMPARATIVE DATA FOR FISCAL YEARS 1966-1972

	1966	1967	1968	1969	1970	1971	1972
unds Appropriated & Obligated (in thousands)	$ 5,000	$30,000	$ 30,000	$30,000	$30,000	$ 33,850	$ 51,850
unds Requested by Institutions (in thousands)	$32,250	$56,792	$113,925	$95,187	$85,434	$105,048	$143,000
umber of Proposals Submitted	310	560	500	464	433	441	456
eveloping Institutions:							
Number of Grantees	127	411	220	229	227	198	226
Participating Institutions	31	55	148	186	215	307	330
Total	158	466	368	415	442	505	556
ssisting Institutions	66	168	131	142	156	151	185
ssisting Agencies & Businesses	9	53	28	47	51	53	101
ational Teaching Fellowships Approved	263	1,514	727	655	649	541	635
rofessors Emeriti 1/ Awarded	--	--	--	--	56	64	73
eographical Representation States/Territories)	(38/1)	(47/3)	(45/3)	(45/3)	(44/4)	(40/3)	(43/3)

/ The Higher Education Amendments of 1968 added this component to the Program and the first award was in 1970.

ource: Program files, Bureau of Higher and Continuing Education.

Table II
TITLE III, HIGHER EDUCATION ACT OF 1965 STRENGTHENING DEVELOPING INSTITUTIONS BASIC INSTITUTIONAL DEVELOPMENT PROGRAM

COMPARATIVE DATA FOR FISCAL YEARS 1973-1978

	1973	1974	1975	1976	1977	1978
Funds Appropriated & Obligated (in thousands)	$ 51,850	$ 51,992	$ 52,000	$ 52,000	$ 52,000 2/	$ 52,000
Funds Requested by Institutions (in thousands)	$220,000	$198,000	$222,000	$196,000	$184,000	$172,000
Number of Proposals Submitted	470	511	491	431	410	415
Developing Institutions:						
Number of Grantee	235	215	207	203	190	238
Participating Institutions	232	139	230	232	229	205
Total	467	354	437	435	419	443
Assisting Institutions	181	163	141	163	168	211
Assisting Agencies and Businesses	134	178	118	166	149	257
National Teaching Fellowships Approved	354	524	461	362	3/	3/
Professors Emeriti 1/ Awarded	45	59	48	38	3/	3/
Geographical Representation (States/Territories)	(43/3)	(47/3)	(44/3)	(44/4)	(46/3)	(46/4)

1/ The Higher Education Amendments of 1968 added this component to the program and the first award was in 1970.
2/ An additional $476,440 was received from OE reprogrammed money to make the new total obligated funds--$52,476,440.
3/ Not available.

Source: Program files, Bureau of Higher and Continuing Education.

Table III
ADVANCED INSTITUTIONAL DEVELOPMENT PROGRAM
TITLE III, HIGHER EDUCATION ACT OF 1965
SUMMARY OF FISCAL YEARS 1973-78

	1973	1974	1975	1976	1977 *	1978	Total
Funds Appropriated & Obligated	$ 35,500,000	$ 48,000,000	$ 58,000,000	$ 58,000,000	$ 58,000,000	$ 68,000,000	$ 325,500,000
Funds Requested by Institutions	$336,554,162	$400,387,759	$318,997,848	$314,577,547	$281,373,538	$352,595,125	$2,004,485,979
Number of Proposals Submitted	156	205	174	134	193	135	997
Number of Institutions Funded	28	36	61	34	89	55	303
Number of New Institutions Funded	28	36	19	32	29	21	165
Number of Grants Awarded	28	36	63	34	110	58	320
Geographical Representation of Grantees (States)	22	18	26	23	29	26	36
Number of Different Four-Year Colleges Funded	17	23	44	22	63	37	108

* In FY 1977 79 awards with a mean of $92,000 were made to previous grants.

Source: Program files, Bureau of Higher and Continuing Education.

Table IV

Funding Summary
Developing Institutions Program
FY 1979 and FY 1980

	Fiscal Year	
	1979	1980
Appropriation	120,000,000	110,000,000*
Obligations	117,000,909	110,000,000
Funds Requested	567,775,965	
Number of Proposals	504	445
Number of Grantees	372	301
2-Year	166	91
4-Year	206	210

*$12 million was set aside for non-competing continuations. In FY 1979 66 2-year schools were given only one year funding of their multi-year award, thus; in FY 1980 money had to be set aside to fund the second year of these multi-year awards. 3.5 million is set aside for non-continuations in FY 1981. This set aside is for 17 2-year institutions.

Table V

AIDP - Ten Most Frequently Funded Activities
Fiscal Year 1973-1978

Activity	Number Funded	Obligated in $1,000	Number of Institutions
Top 10 Activities			
Planning Phase	200	$ 9,286	165
Planning, Management, and Evaluation	187	32,454	140
AIDP Coordination and Control	174	23,569	130
Vocational and Technical Training	318	64,489	110
Career Counseling/Guidance/ Advisement/Placement/Follow-up	96	17,367	82
Instructional Methods and Technology	90	21,863	70
Strengthening Fund Raising Capacity	86	2,105	69
Management Information Systems	70	65	100
Varied Student Services	59	16,595	58
Developmental Studies Program	57	9,887	42
Percent of Total (top 10)	70	65	100
Total of All Activities	1,905	325,500	165

These activities constituted approximately 70 percent of all AIDP-funded activities and accounted for 65 percent of all expenditures under AIDP programs.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Land-Grant Colleges and Universities

Legislation:

Second Morrill Act of 1890, as amended; 26 Stat. 417; 7 U.S.C. 322, 323; Bankhead-Jones Act, as amended; 49 Stat. 439: Public Law 182; 7 U.S.C. 329 as amended Title IX, Sec. 506 Higher Education Amendments of 1972, Sec. 1461, and PL. 96-374

Expiration Date:

Indefinite

Funding History:	Year	Authorization	Appropriation 1/
	1964	$14,500,000	$14,500,000
	1965	14,500,000	14,500,000
	1966	14,500,000	14,500,000
	1967	14,500,000	14,500,000
	1968	14,500,000	14,500,000
	1969	14,720,000	14,550,000
	1970	14,922,000	14,720,000
	1971	14,720,000	12,680,000
	1972	14,720,000	12,600,000
	1973	15,160,000	18,700,000 2/
	1974	15,160,000	12,200,000
	1975	15,160,000	12,200,000
	1976	15,160,000	12,200,000
	1977	15,160,000	14,200,000
	1978	2,700,000 3/	2,700,000 3/
	1979	2,700,000	2,700,000
	1980	2,700,000	2,700,000
	1981	2,700,000 4/	2,700,000 4/

1/ Figures are the sum of permanent appropriation under the Second Morrill Act (i.e., $50,000 for each State and each jurisdiction regarded as a State for the purpose of this Act) and funds annually appropriated under the Bankhead-Jones Act.

2/ This figure includes a one-time appropriation of $6,000,000 for the two newly designated land-grant colleges of the Virgin Islands and Guam. Each jurisdiction received $3,000,000 to be invested in U.S. Government or other safe bonds, with the resulting interest to be used by the land-grant colleges.

3/ In FY 1978 administration of the Bankhead-Jones Act was transferred to the Department of Agriculture by Public Law 95-113. The $2,700,000 administered by the Department of Education is the sum of $50,000 to each of 54 jurisdictions authorized by the Second Morrill Act.

4/ The Higher Education Amendments of 1980 established the Community College of American Samoa and the College of Micronesia as land grant colleges. This appropriation includes a one-time appropriation of $6,000,000 similar to that given to the land grant colleges of the Virgin Islands and Guam in 1973.

Program Goals and Objectives:

to the several States, and jurisdictions regarded as States for the purpose of this legislation, and for collegiate-level instruction in agriculture and the mechanical arts. In addition, program funds may be used to support instruction in the English language and the various branches of mathematical, physical, natural, and economic sciences. The objective of the Morrill Act of 1862 was to provide public lands to any State that would agree to establish an institution in which programs in agriculture and the mechanical arts would be available to the sons and daughters of working class people. The objective of the Morrill Act of 1890 was to provide funds to those States having a dual school system, with the use of such funds authorized for the establishment of a land-grant college for black persons. Later amendments to the land-grant colleges program were designed to maintain and increase the level of Federal support in continuing the availability of these educational programs for persons whose educational opportunities were limited.

Program Operations:

A land-grant college or university is an institution designated by a State legislature for the benefits of the First Morrill Act of 1862 or the Second Morrill Act of 1890. The original Act provided public land (in the amount of 30,000 acres for each Senator and Representative of a State) in order to ensure the development in each State of at least one institution "to teach such branches of learning as are related to agriculture and the mechanical arts." The Second Morrill Act provided for an appropriation of $25,000 for each State having a land-grant institution. The Nelson Amendment of 1907 doubled these appropriations to $50,000. The Bankhead-Jones Act of 1935 provided for additional support. Puerto Rico was added in 1908; the District of Columbia in 1969; and both Guam and the Virgin Islands in 1973.

In Fiscal Year 1978, administration of the Bankhead-Jones Act was transferred to the Department of Agriculture. The Department of Education administers only the Second Morrill Act, with its $50,000 to each of 54 jurisdictions. Monies are paid directly to State treasurers and, in the event that more than one land-grant institution exists in a State, State legislatures must provide by statute for the division of these monies. Funds may not be used to purchase land, nor may they be applied to the purchase, erection, repair, or preservation of buildings. Each land-grant institution is required to provide annually to the U.S. Department of Education a report on the expenditure of monies received under all land-grant appropriations.

Program Scope:

In Fiscal Year 1980, $2,700,000 was apportioned among the 56 jurisdictions. Of the 73 land-grant institutions only Cornell University in Ithaca and the Massachusetts Institute of Technology retain elements of private control. All of the land-grant colleges offer educational programs of more than two years duration. Currently, 17 States maintain two land-grant institutions, with the second land-grant institution in 16 of the States being established under the provisions of the Second Morrill Act of 1980. Sixteen of the land-grant institutions are predominantly black.

Program Effectiveness and Progress:

The land-grant colleges and universities program assists 72 land-grant institutions in meeting the continuing costs of instruction and equipment. Since these grants form a very small part of the institutions' recent budgets and the use of land-grant monies is of a discretionary nature, the current impact of these funds is difficult to assess. Nonetheless, abundant historical evidence indicates that the land-grant institutions created by this program have provided the bulk of the technical expertise which has made the U.S. agricultural sector the most technologically advanced and dynamic in the world.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program files, Division of Training and Facilities, Office of Postsecondary Education.

For further information about program operations,

Contact: John Donahue, 245-9868

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Annual Interest Grants

Legislation:

Title VII-C, Section 745 of the Higher Education Facilities Act of 1965; as amended by the Higher Education Amendments of 1972 (formerly Title III, Section 306 of the Higher Education Act of 1963; Public Law 88-204) and Higher Education Amendments of 1980, P.L. 96-374.

Expiration Date:

September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1969	$ 5,000,000	$ 3,920,000
	1970	11,750,000	11,750,000
	1971	25,250,000	21,000,000
	1972	38,750,000	29,010,000
	1973	52,250,000	14,069,000
	1974	65,750,000	31,425,000
	1975	79,250,000	0 1/
	1976	92,750,000	0 1/
	1977	Indefinite	0 1/
	1978	Indefinite	4,000,000
	1979	Indefinite	29,000,000
	1980	Indefinite	29,000,000
	1981	Indefinite	26,000,000

Program Goals and Objectives:

Annual Interest Grants is one of four programs (which include also Loans for Construction of Academic Facilities, Grants for Construction of Undergraduate Academic Facilities, and Grants for the Construction of Graduate Facilities) 2/ which were designed to help institutions of higher

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1/ No appropriations were requested for continuing grant obligations in FY 1975, FY 1976, or FY 1977. A new accounting procedure was instituted wherein all outstanding obligations were de-obligated so that program obligations will agree contractually with the years in which payments commence under each grant agreement.

2/ New funding for Grants for the Construction of Graduate Facilities and Loans for the Construction of Academic Facilities ceased in 1969 (loans, however, were authorized to the extent that funds became available from cancellation of previous loan commitments). In 1978, at Congressional initiative, two loans totalling $7.2 million were authorized to assist Georgetown University and Tufts University in the construction of two model inter-cultural centers. In addition, Congress appropriated $5 million in grants for the same project under the Title VII-B Graduate Facilities Grant Programs.

education meet a national shortage of facilities. The Annual Interest Grant Program became operational in Fiscal Year 1970 and was designed both to encourage the use of private capital for construction of academic facilities as well as to reduce the interest burden on borrowers to a level commensurate with direct loans for academic facilities.

Program Operations:

Institutions of higher education, cooperative graduate center boards, and higher education building agencies (i.e., State agencies empowered by the State to issue tax-exempt bonds on behalf of private institutions of higher education) have been eligible to apply for Federal annual interest grant assistance on loans obtained in the private market. Up to 90 percent of the cost of a project has been eligible for loan subsidies over a fixed period which may not exceed 40 years. Subsidy payments commence after either long-term financing arrangements have been consummated or after the project has been completed--whichever is later. Subsidies represent the difference between the interest amounts payable at the commercial rate on the loan and the amount payable at an interest rate of 3 percent. Not more than 12.5 percent of the annual appropriations for this program has been allowed for grants to any one State. Further, the aggregate principal amount of loans (or portions thereof) with respect to which annual interest grant subsidies were approved could not exceed $5 million per campus during any Federal fiscal year.

Prior to receipt by the central office, program applications were first reviewed by State Commissions, and subsequently by the appropriate DHEW regional office, to evaluate the request for assistance with regard to (1) space utilization, (2) enrollment projections, and (3) overall need for the facility for which assistance was requested.

Program priorities focused first upon applications from public community colleges and public technical institutions, from developing institutions, and for institutions in which enrollments from low-income families were at least 20 percent of the student body. Applications from all other institutions were regarded as a secondary priority. Within these two priority categories, requests were awarded so as to encourage a distribution of funds to those institutions or branch campuses which were (1) in urgent need of additional academic facilities--either due to inadequate facilities--and (2) committed to the enrollment of substantial numbers of veterans.

Program Scope:

No awards for annual interest grants have been made since Fiscal Year 1973. Since the program's inception in Fiscal Year 1970, 711 grants (subsidizing a total loan volume of $1,434,571,000) have been approved. As of the close of Fiscal Year 1979, 621 of these grants (subsidizing a loan volume of approximately $1 billion--or 70 percent of the total) have come into active pay status. Thirty projects have been paid in full, 35 have been terminated and 25 are not yet in pay status.

Federal obligations for subsidies of annual interest grants amounted to $8,000 in FY 1971; $2,105,000 in FY 1972; $6,005,000 in FY 1973; $11,408,000 in FY 1974; $16,657,000 in FY 1975; $18,950,000 in FY 1976; $23,972,217 in FY 1977; $25,733,884 in FY 1978; $25,057,769 in FY 1979; and $24,626,106 in FY 1980. It is anticipated that when the total loan volume comes into active pay status, annual Federal obligations will approximate no more than $29,000,000 and that final payments under this program will extend until roughly 2020.

Of the $1,434,571,000 total subsidized loan volume, $364,595,000 (or 25.4 percent) of the loans were held by two-year institutions and $1,069,976,000 (or 74.6 percent) of the loans are held by four-year colleges and universities.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 55 States and territories. During the period Fiscal Year 1965 through Fiscal Year 1975 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commercial loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion will have been constructed.

Findings of an USOE planning study report that the total stock of space in 1974 approximated 1,332,300,000 net assignable square feet. Roughly 25 percent of this total was constructed between academic years 1968-69 and 1973-74. In addition, construction completed by 1976 supplemented this stock by an estimated 80,000,000 square feet. This study also found that nationally aggregated comparisons of space standards with the space available showed few shortages, both for those categories where very specific space standards have been established (i.e., classrooms, laboratories, and office space) as well as for special use, general use, and support space. Non-academic space showed some excess; nonetheless, some shortages of space were observed in office space, study space, and laboratory facilities. When disaggregated, the data showed a tendency for some schools (particularly two-year private colleges) to be space-rich and for others (generally, public universities and public two-year colleges) to exhibit some shortages as a consequence of shifts in enrollment patterns. Other major findings noted (a) that neglecting of maintenance, which can increase the need for remodeling, was estimated to be common at approximately 20 percent of the public sector institutions and 40 percent of the private sector colleges and (b) that there was little evidence that the drying up of Federal construction funds has tended to affect college construction decisions.

In view of the large amount of construction over the last 10 years and the anticipated leveling off of higher education enrollments, it appears that the Federal assistance programs for new construction of higher education academic facilities have generally accomplished their objective. While certain areas of the country may still face a shortage of academic space, these deficiencies are believed to be limited, and the existing conditions do not constitute a national problem at this time.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D. C.; August 15, 1974.

Program files, Division of Training and Facilities, Office of Postsecondary Education.

For further information about program operations,

Contact: Tom McAnallen, 245-3253

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Grants for Construction of Undergraduate Academic Facilities

Legislation:	Expiration Date:
Title VII-A of the Higher Education Facilities Act of 1965; (formerly Title I of the HEFA 1963; Public Law 88-204); as amended by Public Law 92-318 as amended by Public Law 94-482; extended by Public Law 96-374.	September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1965	$230,000,000	$230,000,000
	1966	460,000,000	458,000,000
	1967	475,000,000	453,000,000
	1968	728,000,000	400,000,000
	1969	936,000,000	83,000,000
	1970	936,000,000	76,000,000
	1971	936,000,000	43,000,000
	1972	50,000,000	43,000,000
	1973	200,000,000	43,000,000 2/
	1974	300,000,000	0
	1975	300,000,000	0
	1976	300,000,000	0
	1977	300,000,000	0
	1978	300,000,000	0
	1979	300,000,000	0
	1980	300,000,000	25,000,000 3/
	1981	100,000,000	0

1/ Public Law 94-482, "Education Amendments of 1976," was passed in September 1976. It authorizes Grants for Construction of Undergraduate Academic Facilities until October 1, 1979, and expanded the scope of the program by authorizing grants for reconstruction and renovation projects designed to:

(1) Economize on the use of energy.

(2) Bring facilities into conformance with the Architectural Barriers Act of 1968 (making facilities accessible to the handicapped).

(3) Bring facilities into conformance with health, safety, or environmental protection requirements mandated by Federal, State, or local law.

2/ Funds appropriated in Fiscal Year 1973 were released to the program in May 1974 for obligation during Fiscal Years 1974 and 1975.

3/ Supplemental Appropriation and Rescission Act of 1980 rescinded $15,000,000 of the $25,000,000 and deferred $10,000,000 for use in fiscal 1981.

Program Goals and Objectives:

Grants for Construction of Undergraduate Academic Facilities is one of four programs (which include also Loans for Construction of Academic Facilities, Annual Interest Grants, and Grants for the Construction of Graduate Facilities) 1/ which were designed to help institutions of higher education meet a national shortage of facilities. The objective of this program is to provide grants to institutions of higher education to finance the construction, rehabilitation, or improvement of undergraduate academic facilities.

Program Operations:

Funds for public community colleges and public technical institutes under this program are allotted to each State by a formula based on the number of high school graduates and per capita income of residents. Funds for other institutions are allotted to each State by a formula based on the number of students enrolled in institutions of higher education and the number of students in grades 9 through 12. Within each State, Federal grants may be awarded for up to 50 percent of the project development cost. Not less than twenty-four percent of funds appropriated under the Title must be reserved for community and technical schools.

Grants are not given for the construction of facilities for which admission is normally charged, for facilities used for sectarian instruction, for facilities for schools of the health professions as defined in the Higher Education Facilities Act, or for residential, dining, and student union facilities.

The law requires that each state establish a Commission for Higher Education Facilities, which would determine priorities, including those regarding the allocation of Federal funds to each project.

Program Scope:

No appropriations for new construction projects have been made for this program since FY 1973. However, for FY 1980, Congress appropriated, through the continuing resolution, $25 million for grants for reconstruction and renovation projects for removal of architectural barriers to the handicapped.

1/ With one exception, funding for Grants for the Construction of Graduate Facilities and new funding of Loans for the Construction of Academic Facilities ceased in 1969 (loans were authorized only to the extent that funds became available from cancellation of previous loan commitments). However, in 1978, at Congressional initiative, two loans totalling $7.2 million were authorized from the unobligated balance in the loan fund to assist Georgetown University and Tufts University in the construction of two model inter-cultural centers. In addition to the two loans, Congress appropriated $5 million in grants for the same projects under the Title VII-B Graduate Facilities Grant Program.

June 3, 1980 was the deadline for making programs accessible to the handicapped in compliance with the regulations implementing Section 504 of the Rehabilitation Act of 1973. A survey conducted by the National Center for Education Statistics in 1979 indicated that the total cost for removal of architectural barriers in compliance with Section 504 at colleges and universities across the country would run approximately $560 million. It was on this basis that the Congress appropriated the $25 million for 1980.

Because this program had been inactive since 1973, and because of complications encountered in preparing regulations, the time required to implement this special program for removal of architectural barriers was greater than originally anticipated. Accordingly, it became apparent that the grants could not be awarded in FY 1980, and the Administration requested Congress to extend the availability of these funds through FY 1981. In the meantime, although steps were being taken to implement this program, the $25 million was included in the President's rescission package as a proposed budget cut for 1980. Although the rescission package was not acted upon, Congress passed the Supplemental Appropriation and Rescission Act of 1980 which rescinded $15,000,000 of the $25,000,000 and deferred $10,000,000 for use in fiscal year 1981.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 55 States and territories. During the period Fiscal Year 1965 through Fiscal Year 1975 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commercial loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion will have been constructed.

Findings of a USOE planning study report that the total stock of space in 1974 approximated 1,332,300,000 net assignable square feet. Roughly 25 percent of this total was constructed between academic years 1968-69 and 1973-74. In addition, construction completed by 1976 supplemented this stock by an estimated 80,000,000 square feet. The study also found that nationally aggregated comparisons of space standards with the space available showed few shortages, both for those categories where very specific space standards have been established (i.e., classrooms, laboratories, and office space) as well as for special use, general use, and support space. Non-academic space shows some excess. Nonethelesss, some shortages of space were observed in office space, study space, and laboratory facilities. When disaggregated, the data showed a tendency for some schools (particularly two-year private colleges) to be space-rich and for others (generally, public universities and public two-year colleges) to exhibit some shortages as a consequence of shifts in enrollment patterns. Other major findings noted (a) that neglecting of maintenance, which can increase the need for remodeling, was estimated to be common at approximately 20 percent of the public sector institutions and 40 percent of the private sector colleges and (b) that there was little evidence that the drying up of Federal construction funds has tended to affect college construction decisions.

In view of the large amount of contruction over the last 10 years and the anticipated leveling off of higher education enrollments, it appears that the Federal assistance programs for new construction of higher education academic facilities have generally accomplished their objective. While certain areas of the country may still face a shortage of academic space, these deficiencies are believed to be limited, and the existing conditions do not constitute a national problem at this time.

There have not been any comprehensive studies conducted with regard to the overall reconstruction and renovation needs in higher education facilities. However, a special survey was conducted by the National Center for Education Statistics (NCES) in 1979 to assess the costs at colleges and universities of removing architectural barriers to the handicapped in compliance with Section 504 of the Rehabilitation Act of 1973. Although the survey indicated that total costs to colleges and universities would approximate $560 million, the Administration did not request program funding to address this need. This decision was based on several factors. First, it was recognized that institutions were moving ahead to comply with Section 504 without Federal assistance. Secondly, based on the NCES survey, it was determined that the capital costs required for removing of architectural barriers at most institutions were relatively small. Over a three-year period ending in June 1980 (deadline for compliance with Section 504), the estimated cost of removing architectural barriers would represent about three percent of total capital outlays, and only 1/3 of one percent of the total revenues of all the colleges and universities during this period.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D. C.; August 15, 1974.

The Impact of Section 504 of the Rehabilitation Act of 1973 on American Colleges and Universities, Preliminary Final Report, NCES, May 1979.

Program files, Division of Training and Facilities, Office of Postsecondary Education.

For further information about program operations,

Contact: Tom McAnallen, 245-3253

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Loans for Construction of Academic Facilities

Legislation:	**Expiration Date:**
Public Law 89-329, Title VII-C of the Higher Education Facilities Act of 1965; as amended by Public Law 92-318 (formerly Title III of the HEFA; Public Law 88-204); as amended by PL. 94-482, PL. 96-49 and 96-374	October 1, 1985

Funding History:	Year	Authorization	Appropriation
	1964	$120,000,000	$ 0
	1965	120,000,000	169,250,000
	1966	120,000,000	110,000,000
	1967	200,000,000	200,000,000
	1968	400,000,000	0
	1969	400,000,000	100,000,000
	1970	400,000,000	0
	1971	400,000,000	0
	1972	50,000,000	0
	1973	100,000,000	0
	1974	150,000,000	0
	1975	200,000,000	0
	1976	200,000,000	0
	1977	200,000,000	0
	1978	200,000,000	0
	1979	200,000,000	0
	1980	200,000,000	0
	1981	80,000,000	0

1/ Public Law 94-482, "Education Amendments of 1976," was passed in September 1976 It authorizes "Loans for Construction of Academic Facilities" and expands the scope of the program by authorizing loans for reconstruction and renovation projects designed to:

(1) Economize on the use of energy.

(2) Bring facilities into conformance with the Architectural Barriers Act of 1968 (making facilities accessible to the handicapped).

(3) Bring facilities into conformance with health, safety, or environmental protection requirements mandated by Federal, State, or local law.

Program Goals and Objectives:

Loans for Construction of Academic Facilities is one of four programs which include also Annual Interest Grants, Grants for Construction of Undergraduate Academic Facilities, and Grants for the Construction of Graduate Facilities 1/ designed to help institutions of higher education meet a national shortage of facilities. The objective of this program has been to help reduce the financial burden on institutions of higher education by making available to them loans with low rates of interest.

Program Operations:

Loans have been awarded pursuant to the following stipulations: (1) that not less than 20 percent of the development cost of the facility be financed from non-Federal sources (this requirement may be waived for schools qualified as developing institutions under HEA Title III), (2) that applicants have been unable to secure the amount of such loan from other sources upon terms and conditions equally as favorable as the terms and conditions applicable to loans under this program, (3) that construction will be undertaken in an economical manner and that it not be of elaborate or extravagant design or materials, and (4) that, in the case of a project to construct an infirmary or other facility designed to provide primarily for outpatient care of students and institutional personnel, no financial assistance be provided for such project under Title IV of the Housing Act of 1950.

Loans have been made available to institutions of higher education, to cooperative graduate center boards, or to higher education building agencies (i.e., State agencies empowered by the State to issue tax-exempt bonds on behalf of private institutions of higher education) for the purpose of constructing only academic facilities. Although the law allows for a repayment period of 50 years, loans have normally been made available for 30 years--with exceptions, under certain circumstances, permitting a maximum loan period of 40 years. Interest rates on these loans cannot exceed 3 percent per annum.

Program Scope:

This program has not received any appropriations since Fiscal Year 1969, as it was anticipated that the same objectives would be accomplished under the Annual Interest Grants Program and with the use of private capital. Since Fiscal Year 1970, this program has been authorized to make new loans to the extent that funds became available through the termination

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1/ Funding of Grants for Construction of Graduate Facilities ceased in 1969. However, in FY 1978 $5 million was appropriated for grants for two model intercultural centers at Georgetown and Tufts Universities. Funding for Grants for Construction of Undergraduate Facilities ceased in 1973. No new awards for Annual Interest Grants have been made since FY 1973.

(primarily through withdrawal) of prior-year loan commitments. During Fiscal Year 1975, the remaining funds released through cancellation of prior loans were approved for new loan commitments. However, in 1978, at Congressional initiative, two loans totalling $7.2 million were authorized from the unobligated balance in the loan fund to assist Georgetown Univeristy and Tufts University in the construction of two model intercultural centers. In addition to the two loans, Congress appropriated $5 million in grants for the same projects under the Title VII-B Graduate Facilities Grant Program.

Since Fiscal Year 1972, program priorities have focused upon the extension of loan commitments to predominantly black colleges. In Fiscal Year 1975, six loan commitments totalling $2,317,000 and supporting construction estimated at $16,843,783 were approved--all to private, four-year colleges. Four of these approvals were loan increases to predominantly black colleges; the remaining two were new loan approvals to predominantly white institutions.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 50 States and the territories. During the period Fiscal Year 1965 through Fiscal Year 1976 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commercial loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 billion. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion will have been constructed.

Findings of a USOE study report that the total stock of space in 1974 approximated 1,332,300,000 net assignable square feet. Roughly 25 percent of this total was constructed between academic years 1968-69 and 1973-74. In addition, construction completed by 1976 supplemented this stock by an estimated 80,000,000 square feet. The study also found that nationally aggregated comparisons of space standards with the space available showed few shortages, both for those categories where very specific space standards have been established (i.e., classrooms, laboratories, and office space) as well as for special use, general use, and support space, while non-academic space shows some excess. Some shortages of space were observed in office space, study space, and laboratory facilities. When disaggregated, the data showed a tendency for some schools (particularly two-year private colleges) to be space rich and for others (generally, public universities and public two-year colleges) to exhibit some shortages as a consequence of shifts in enrollment patterns. Other major findings noted (a) that neglecting of maintenance, which can increase the need for remodeling, was estimated to be common at approximately 20 percent of the public sector institutions and 40 percent of the private sector colleges and (b) that there was little evidence that the drying up of Federal funds has tended to affect college construction decisions.

In view of the large amount of construction over the last 10 years and the anticipated leveling off of higher education enrollments, it appears that the Federal assistance programs for new construction of higher education academic facilities have generally accomplished their objective. While certain areas of the country may still face a shortage of academic space, the existing conditions do not appear to constitute a national problem at this time.

There have not been any comprehensive studies conducted with regard to the overall reconstruction and renovation needs in higher education facilities. However, a special survey was conducted by the National Center for Education Statistics (NCES) in 1979 to assess the costs at colleges and universities of removing architectural barriers to the handicapped in compliance with Section 504 of the Rehabilitation Act of 1973. Although the survey indicated that total costs to colleges and universities would approximate $560 million, the Administration did not request program funding to address this need. This decision was based on several factors. First, it was recognized that institutions were moving ahead to comply with Section 504 without Federal assistance. Secondly, based on the NCES survey, it was determined that the capital costs required for removing of architectural barriers at most institutions were relatively small. Over a three-year period ending in June 1980 (deadline for compliance with Section 504), the estimated cost of removing architectural barriers would represent about three percent of total capital outlays, and only 1/3 of one percent of the total revenues of all the colleges and universities during this period.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D. C.: August 15, 1974.

The Impact of Section 504 of the Rehabilitation Act of 1973 on American Colleges and Universities, Preliminary Final Report, NCES, May 1979.

Program files, Division of Training and Facilities, Office of Postsecondary Education.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Cooperative Education Program

Legislation:	Expiration Date:
Authorization: Higher Education Act of 1965 (Title VIII), Public Law 89-329, as amended by Public Law 90-575, October 16, 1968; and Public Law 92-318, June 23, 1972; and Public Law 94-482, October 12, 1976, and Public Law 96-374, October 3, 1980.	September 30, 1982

Funding History:

Year	Authorization	Appropriation
1970	1/	$ 1,540,000
1971	1/	1,600,000
1972	$10,750,000	1,700,000
1973	10,750,000	10,750,000
1974	10,750,000	10,750,000
1975	10,750,000	10,750,000
1976	14,000,000	10,750,000
1977	16,500,000	12,250,000
1978	22,500,000	15,000,000
1979	28,000,000	15,000,000
1980	28,000,000	15,000,000
1981	28,000,000	23,000,000

Program Goals and Objectives:

The primary objective of this program is to assist institutions of higher education to establish, strengthen, or expand Cooperative Education programs on their campuses. Such programs are designed to provide alternating periods of academic study and of public or private employment, the latter affording students not only the opportunity to earn funds necessary for continuing and completing their education, but so far as practicable giving them work experiences related to their academic or occupational objectives.

In addition, the legislation for this program authorizes grants or contracts for training, research, and demonstration, the purpose of which is to train Cooperative Education administrators and to seek methods of improving Cooperative Education programs.

1/ One percent of the College Work-Study appropriation was authorized to be used in support of Cooperative Education programs at higher education institutions.

Program Operations:

Under the Cooperative Education program, as amended and provided for under Title VIII of the Higher Education Act, grants are awarded to institutions on a proposal basis, with an institution eligible to apply for annual grants for up to five years. Awards to an individual institution cannot exceed $175,000 in any one year. In the case of a consortium of institutions, the maximum award in one year is $125,000 times the number of institutions in the consortium. Further restrictions on amount of awards are (1) the first year's grant may not exceed 100 percent of total administrative costs, (2) the second year's grant may not exceed 90 percent of such cost, (3) the third year's grant may not exceed 80 percent of such cost, (4) the fourth year's grant may not exceed 60 percent of such cost, and (5) the fifth year's grant may not exceed 30 percent of such cost. Funds must not be used as compensation for student employment. Salaries and other administrative expenses for Cooperative Education administrators are payable from grant funds.

Institutions receiving second, third, fourth, and fifth year administration grants are required to provide 10, 20, 40, and 70 percent of administration costs for those respective years. In addition, program regulations require each applicant for a cooperative education grant to indicate on its grant application that it will spend during the grant year not less than it spent for cooperative education during the prior fiscal year. The program does not collect any subsequent data.

The institutions of higher education assume the responsibility for assigning the student to a job relevant to his academic program and providing supervision during the work period. The institution evaluates, with employer input, the student's job performance and in most cases awards academic credit for the work experience. Cooperative Education is an academic program and is recorded on the transcript.

Under Section 803 of Title VIII, grants are made to institutions of higher education or other non-profit organizations to conduct workshops and other learning activities, the purpose of which is to train persons in the planning, establishing, administration, or coordination of cooperative education programs.

Under Section 803 of Title VIII, grants are also made to non-profit organizations and higher education institutions to conduct research into methods of improving, developing, or promoting the use of programs of cooperative education in institutions of higher education.

In Fiscal Year 1979, grants were made for the first time to demonstrate or explore the feasibility or value of innovative methods of cooperative education.

Program Scope:

In 1970, there were only 195 Cooperative Education programs, while in 1977, 1,040 institutions participated in the program which amounts to about one-third of the Nation's institutions of higher education. Three-fourths of the 1,040 Co-op colleges and universities have received Federal grant support. During the nine-year funding history of this program, fifty percent of the applicants have been successful in obtaining grants.

In Fiscal Year 1980, 544 proposals were submitted. They requested $48,974,036. With an appropriation of $15 million in 1980, 251 administration grants (total of $11,999,284), 14 training grants (total of $787,020), 4 research grants (total of $212,980), and 3 demonstration grants (total of $2,000,000) were awarded to a total of 272 institutions. Forty-three percent of the grants (worth $5,078,048) went to two - year colleges and 57 percent of the grants (worth $6,921,236) went to four - year colleges.

Program Effectiveness and Progress:

In 1977 a nationwide mandated study of Cooperative Education was completed which compared cooperative education students and graduates with students and graduates in the same academic field who had not gone the cooperative education route.

Selected findings of the study were:

- Co-op students perceived that job skills were improving as they advanced through their undergraduate programs and as they approached graduation, had a clearer and more specific sense of their career objectives than did non-Co-op students.
- Among graduates, the findings showed that Cooperative Education participants had a more direct relationship between college major and full-time after-graduation employment, and current job and career plans, than did graduates who had not participated in Cooperative Education.
- For the majority of students and institutional personnel the financial assistance aspect of Cooperative Education was secondary to its educational potential. For the remainder paramount importance in their decision to enroll in Cooperative Education. It was very important to even larger proportions of certain subgroups within the student sample, specifically minority group and economically disadvantaged students.
- Estimated lifetime financial returns to students were greater for those who participated in Cooperative Education even when it required an additional year of schooling.

- Additional costs experienced by employers in hiring Cooperative Education students compared to their regular employees were small. The only appreciably greater costs were the one time start-up costs and costs assigned to the evaluation of Co-op students. On the other hand, benefits included greater student productivity and the ability of employers to recruit future full-time employees at reduced cost.
- In a period of about six years, HEA Title IV-D grants have been very effective in increasing the number of Cooperative Education programs (from approximately 300 to over 1,000), but apparently have had little influence on the nature and structure of the programs.
- Overall, Title IV-D grants absorbed approximately 55 percent of the institutional costs of developing and maintaining programs of Cooperative Education.
- Lack of understanding of and information about Cooperative Education were commonly given reasons for non-participation in Cooperative Education by students, institutions, and employers.

A nearly completed evaluability assessment study of the Cooperative Education program indicates that policy makers and program managers concur that the program is achieving its objective of providing seed money to develop and establish cooperative education programs at the postsecondary level. Some policy makers felt that the number of students enrolled in cooperative education could be increased substantially and were advocating demonstration grants for that purpose.

A number of suggestions were made for improving the program management. For example it was suggested that the list of proposal readers be expanded and rating sessions take place in different parts of the country to permit a wider representation of the cooperative education community including employers. It was sugested that training could be more responsive to clients needs if it was more focussed and its method of delivery was changed. Another suggestion was that the Federal government take a more active role in identifying useful topics for research and monitoring research grants.

The study also pointed to the urgent need for the Federal government to define the terms it uses such as "comprehensive program" referred to in demonstration grants and cooperative education as distinct from experiential learning and other job/intern experience

Ongoing and Planned Evaluation Studies:

An exploratory evaluation study of the Cooperative Education program was completed recently. The study identified the goals of all parts of the program (administration, training and research). It also identified measurable objectives. No new studies are planned.

Sources of Evaluation Data:

Program Files, Bureau of Higher and Continuing Education.

Applied Management Sciences, "Cooperative Education - A National Assessment." Silver Spring, Maryland 1977.

Applied Management Sciences, "An Evaluability Assessment of Cooperative Education," Silver Spring, Maryland 1980.

For further information about program operations,

Contact: Morris Brown, 245-2146

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Postsecondary Education Commissions

Legislation:

Higher Education Act of 1965; as amended: Title XII, Section 1202 and 1203; PL. 89-329, and PL. 96-374

Expiration Date:

September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1965	$3,000,000	$3,000,000
	1966	2,000,000	2,000,000
	1967	7,000,000	7,000,000
	1968	7,000,000	7,000,000
	1969	7,000,000	7,000,000
	1970	7,000,000	6,000,000
	1971	7,000,000	6,000,000
	1972 2/	7,000,000	6,000,000
	1973	1/	3,000,000
	1974	1/	3,000,000
	1975	1/	3,000,000
	1976	1/	3,500,000
	1977	1/	3,500,000
	1978	1/	3,500,000
	1979	1/	3,500,000
	1980	1/	3,000,000
	1981	1/	3,000,000

Program Goals and Objectives:

The goal of this program is to encourage improved statewide coordination of higher education planning and functions. Specific program objectives include: (1) the establishment of State Postsecondary Education Commissions which are "broadly and equitably representative of the general public and public and private non-profit and proprietary institutions of postsecondary education in the State including community colleges (as defined in Title X), junior colleges, postsecondary vocational schools, area vocational schools, technical institutes, four-year institutions of higher education and branches thereof" and (2) an expansion in the scope of the studies and planning through comprehensive

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1/ Such sums are necessary to carry out this section.

2/ Prior to FY 1973, the legislation provided funding for physical facilities planning only.

inventories of, and studies with respect to, all public and private postsecondary educational resources in the State, including planning necessary for such resources to be better coordinated, improved, expanded, or altered so that all persons within the State who desire, and can benefit from, postsecondary education may have an opportunity to do so; and (3) planning, developing, and carrying out interstate cooperative postsecondary education projects designed to increase the accessibility of postsecondary educational opportunities for the residents of the participating States, and to assist such States to carry out postsecondary education programs in a more effective and economical manner.

Program Operations:

The Higher Education Amendments of 1972, Section 1202 (a), P.L. 92-318, amended Title XII of the HEA of 1965 to require the establishment of State Postsecondary Education Commissions if a State desires to participate in the comprehensive planning grants program authorized under Section 1203 of the HEA. Under Section 1202 (c), these State Commissions, popularly called 1202 Commissions in reference to the section of the law authorizing them, may also, at the State's discretion, be designated as the State agency for administering HEA Section 105 (Community Services and Continuing Education, Title I), HEA Section 603 (Undergraduate Equipment Grant Program, Title VI-A), and HEA Section 704 (Grants for Construction of Undergraduate Academic Facilities, Title VII-A). Section 1202 (c) further authorizes the payment of funds to the 1202 Commissions to cover the costs of administering the State plans required under Titles VI-A and VII-A. Section 1202 (d) provides that if a State desires to participate in the Titles VI-A and VII-A programs but does not desire to assign the Titles VI-A and VII-A functions to the 1202 Commission, it must establish a separate State commission which is "broadly representative of the public and of institutions of higher education (including junior colleges and technical institues in the State."

Determination of 1202 Commission eligibility for receipt of planning funds has been based upon a review of State-provided information demonstrating how the Commission has met the requirements of Section 1202. Such information must include: (1) a letter signed by the Governor, explaining how the membership of the State Commission meets the "broadly and equitably representative" requirements of Section 1202 (a) and what provisions have been made to ensure continuing compliance with these requirements of the law; (2) an indication of which of the following three options for establishing a 1202 Commission the State has chosen to follow: (i) creation of a new commission, (ii) designation of an existing State agency or State commission, or (iii) expanding, augmenting, or reconstituting the membership of an existing State agency or State commission; (3) an indication of which, if any, of the Titles I, VI-A, and VII-A programs have been assigned to the commission; and (4) other information regarding various particulars of the commission.

After a 1202 Commission has been established, a State is eligible to participate in the comprehensive planning grant programs authorized under Section 1203 of the Act. Section 1203 (a) authorized a program of grants for comprehensive planning for postsecondary education on an intrastate basis. This program is operated as a formula grant program. State Commissions must include the following in their applications: (1) a description of the comprehensive planning activities (and their objectives) for which the grant funds are being requested; (2) a description of the need for the activities (including deficiencies or problems in the current status of comprehensive planning for postsecondary education in the State; (3) a description of the approach (including the methods to coordinate with institutions and agencies concerned with postsecondary education in the State); and (4) a description of the anticipated benefits and results to be obtained from the proposed planning activities (including the use of such results and their relationship to the needs indicated previously.

Section 1203 (c) of the Act authorizes a program of grants to State Commissions and to interstate compact postsecondary educational agencies, applying jointly, for comprehensive planning for postsecondary education on an interstate basis. Final eligibility and funding criteria for this program have been developed. However, no funds have been requested or appropriated for this program.

Program Scope:

Fifty-six 1202 Commissions (representing 49 States and 7 territories were eligible for Fiscal Year 1980 funding in support of Section 1203 (a) planning activities during 1980-81. Of the 56 commissions, 24 were newly established commissions, 19 are existing agencies, and 13 are augmented agencies. Thirty-four of the commissions were also assigned the responsibilities for coordinating the Titles I, VI-A, and VII-A programs; 7 commissions were assigned responsibilities for administering the Titles VI-A and VII-A programs only; one (1) commission was assigned the responsibility for administering the Title I program only; and 14 commissions were assigned no responsibilities for Federal programs other than the Section 1203 planning activities and the review of proposals submitted both to the Fund for the Improvement of Postsecondary Education, and to OE for graduate fellowships under Title IX, HEA.

Latest data regarding 1202 Commission membership reflect composition by type of institution represented, by sex, and by race. With respect to institutional representation, 63.09 percent of 745 members represented the general public, 9.26 percent represented public four-year institutions, 3.22 percent represented public community and junior colleges; 6.58 percent represented public vocational and technical institutes, 9.13 percent represented private non-profit institutions, 3.62 percent represented proprietary schools, and 5.10 percent represented other interests. By sex, 80.19 percent of 757 members were male and 19.81 percent were female. By race, 9.02 percent of 732 members were Black Americans, 1.37 percent were American Indians, 1.23 percent were Asian Americans, 3.14 percent were Spanish-surnamed Americans, and 85.24 percent were members of all other racial classifications.

Of the $3,500,000 appropriation for Fiscal Year 1979, $500,000 was apportioned among State Higher Education Facilities Commissions. The remaining $3 million was distributed among the 55 applicant 1202 Commissions on a two-part formula in which (1) each applicant received $30,000 and (2) the balance of the funds ($1,380,000) were allocated on the basis of the ratio of the population of a postsecondary age (i.e., ages 17 and above as indicated in the latest data available from the U.S. Bureau of the Census) in a given State to the total in all those States which applied. Under this procedure, grants ranged from a low of $30,068 to a high of $171,777--with the average being slightly less than $55,000.

During 1979-80, the Section 1203 (a) grants supported a wide variety of postsecondary educational planning activities in areas including, but not limited to, the following (1) continuing education, educational brokering, and non-traditional education; (2) studies of manpower needs in various fields, including allied health fields; (3) student assistance needs and resources; (4) role and scope of all postsecondary institutions in that State; (5) structure and governance of postsecondary education; (6) occupational education; (7) proprietary schools; (8) establishing and expanding data bases and management information systems; (9) enrollment projections; and (10) facilities planning and analysis activities.

Program Effectiveness and Progress:

In general, more recent applications were of better quality than those submitted in the first year of the program. The States appear to be assessing their individual planning needs in a more coordinated fashion, with many of the proposed activities building upon others which were already in progress or completed. In addition, the Fund for the Improvement of Postsecondary Education found that the 1202 Commissions are taking more initiative in reviewing Fund proposals and the problems exhibited during the FY 1974 cycle (those included (1) the need for a constant educative process of State personnel, since the timing of the review of Fund proposals were coincidental with the establishment of the 1202 Commissions, (2) the greater difficulty faced by smaller states in devoting staff resources to the review of proposals, and (3) some suggestions that, in States where a large university system existed, bias was shown in favor of institutions within that system, while those outside of the system received less favorable reviews) appear to have been alleviated. Also, recent information suggests that while progress has been made in the coordination of postsecondary planning with statewide vocational and manpower planning, it has not been as widespread and effective as might be desired.

One unresolved issue relates to the question of how strictly and in what manner the "broadly and equitably representative" language of the law should be interpreted. During FY 1975 this question was raised with regard to the composition of 1202 Commissions in six States. It has not been raised since then. The concerns were referred to the respective Governors for resolution and have since been resolved. Also, what role should the Department of Education play with regard to Commission make-up, with regard to Commission activities, and in what areas of activity, if any? This issue remains unanswered at this time.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program files, State Planning Commissions Office, Office of Postsecondary Education.

The Changing Map of Postsecondary Education, State Postsecondary Education Commissions (1202): Their Origin, Development, and Current Status, Education Commission of the States, Denver, April 1975.

For further information about program operations,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Community Service and Continuing Education Program

Legislation:

Title I, Part B of Higher Education Act of 1965. Public Law 89-329, Higher Education Amendments of 1976; extended and modified by Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1966	$25,000,000	$10,000,000
	1967	50,000,000	10,000,000
	1968	50,000,000	10,000,000
	1969	10,000,000	9,500,000
	1970	50,000,000	9,500,000
	1971	60,000,000	9,500,000
	1972	10,000,000	9,500,000
	1973	30,000,000	15,000,000
	1974	40,000,000	14,250,000
	1975	50,000,000	14,250,000
	1976	50,000,000	12,125,000
	1977	40,000,000	14,125,000
	1978	40,000,000	18,000,000
	1979	40,000,000	16.000,000
	1980	40,000,000	15,000,000
	1981	40,000,000	15,000,000

Program Goals and Objectives:

The Community Service and Continuing Education (CSCE) program provides support to the States and to institutions of higher education for the following purposes:

(1) To assist in the solution of community problems by strengthening community service programs of colleges and universities;

(2) To support the expansion of continuing education in colleges and universities; and

(3) To support planning for resource materials sharing.

The Community Service and Continuing Education program has been especially designed to meet the educational needs and interests of adults who have been inadequately served by traditional educational offerings in their communities.

Program Operations:

Four professional staff persons are responsible for administering the Federal program.

The program has four distinct parts: a State-grant program, Special Experimental and Demonstration Projects, Special Programs for the Elderly, and technical assistance provisions.

The State-grant program is administered by designated State agencies, each of which develops a State plan, establishes priorities among problem areas, and is responsible for reviewing and approving institutional proposals for support. One third of total program costs must be met from non-Federal funds.

Special Experimental and Demonstration Projects were authorized by the Education Amendments of 1972. Section 106 provides for a set-aside of 10 percent of appropriations in excess of $9.5 million to carry out projects designated to seek solutions to national and regional problems relating to technological and social change and environmental pollution. Priorities are determined annually by the Commissioner in consultation with the National Advisory Council on Extension and Continuing Education. Grants are made by the Office of Education to institutions on the basis of proposals submitted by them.

The Special Programs for the Elderly portion of CSCE was authorized by the Older Americans Comprehensive Services Amendments of 1973. No funds have been made available; therefore, this authority has not been exercised. The authority expired September 30, 1979.

The Education Amendments of 1976 authorized the Commissioner to reserve no more than 10 percent of the amount appropriated for State formula grants in excess of $14,500,000 for technical assistance to States and higher education institutions and amended the CSCE program by adding provisions for technical assistance to States and higher education institutions. The technical assistance is to provide a national diffusion network to help assure that effective programs are known among the States and institutions; assist with the improvement of planning and evaluation procedures; provide information about the changing enrollment patterns in postsecondary institutions; and provide assistance to the States and institutions in their efforts to understand these changing patterns and to accommodate them.

Program Scope:

In FY 1980, 53 eligible jurisdictions out of 57 participated in the State Grant program. Final information on program activities will be available in early 1981. There were no funds for the discretionary grant fiscal year 1980; the $1,000,000 originally available was rescinded by the Congress.

State agencies in FY 1979 received $14,250,000 with which they funded 748 specially designed continuing education programs. In addition, in FY 1979 grants were made to fund 22 Special and Continuing Education projects. These grants supported projects designed to seek solutions to national and regional problems related to social and technological change and environmental pollution.

Of the 22 projects, 12 were renewals with awards ranging from $30,000 to $100,000. Twelve of the projects were new and received awards ranging from $22,700 to $85,000.

Program Effectiveness and Progress:

In FY 1979, according to State program statistics, 687 projects were completed. Of these, 365 were in the area of community service, 278 were continuing education projects and 44 were resource sharing projects. Participating in these projects were 822 institutions of higher learning, more than a third of which were two-year colleges. A total of 465,143 people were served by these projects. No formal national evaluation has been made of these 687 projects. Another estimated 40,309,094 were served by mass media. Estimates were based upon program data.

The program allows State agencies a wide diversity in choice of activities to be funded. Because of this, a clear definition of a single set of specific measurable program goals is not possible. However, the number and kinds of projects funded certainly indicate that diversity has been achieved. The 687 State grant projects addressed problems/needs in 21 problem areas. The largest group, 11 percent of the total, addressed problems of the aging. Another 10 percent addressed problems related to women. At the lower end of the scale two percent of the projects addressed problems of housing, two percent addressed problems of crime/law enforcement and two percent land use.

Some assessment data are available on the Special Projects program. Fifty awards were made in this program in the years 1974-78. Target populations for these projects have included women re-entering work and education, the elderly, prison inmates, local government officials, and the handicapped. Those projects that have been completed have had measurable influence on the expansion and improvement of continuing education. For example, a model pre-retirement program designed by the University of California is now being used, as is an evaluation instrument also developed by the project, by a number of institutions and corporations in the United States and Canada. Project MID-NET at the University of Texas at Arlington adapted existing State programs for local government officials for widespread use at minimum cost in small towns throughout the midwest and southwest. The National Center for Law and the Deaf, jointly sponsored by Gallaudet College and the National Law Center at George Washington University, provided, for the first time, legal services, legal education, and legal advocacy for hearing impaired people. Among its many accomplishments are the establishment of additional centers in California and Pennsylvania, the offering of nationwide legal education workshops, and the establishment of a separately incorporated Legal Defense Fund.

In FY 1978 the appropriations exceeded $14.5 million and thus allowed funding for technical assistance for the first time. A number of activities took place under the technical assistance contract with the Far West Laboratory For Educational Research and Development in FY 1980. The newsletter "CETAC Briefs" was continued. In addition, two workshops on evaluation were conducted for State continuing education administrators. Four workshops on marketing were conducted for deans and directors of continuing education from institutions of postsecondary education.

Ongoing and Planned Evaluation Studies:

An exploratory evaluation study will be proposed for FY 1981 in which greater attention will be given to classifying operations, program goals, and outputs. This will be especially timely as reauthorization of the Higher Education Amendments will be completed by that time.

Sources of Evaluation Data:

Program files, Office of Postsecondary Education.

For further information about program operations,

Contact: Charles Griffith, 245-2671

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Postsecondary Education Eligibility
and Agency Evaluation

Legislation:	Expiration Date:
Accreditation: Education Amendments of 1952 (Public Law 82-550), subsequent legislation.	N/A
Eligibility: Higher Education Act of 1965, as amended including Public Law 96-374	

Funding History: N/A

Program Goals and Objectives:

The Division of Eligibility and Agency Evaluation (DEAE) and the U.S. Secretary of Education's Advisory Committee on Accreditation and Institutional Eligibility (ACAIE) function to "orchestrate" a system of determining initial eligibility for postsecondary educational institutions to participate in Federal student and institutional assistance programs.

Program Operations:

Initial eligibility is granted to postsecondary institutions and programs which meet certain statutory and other prerequisites, including: (a) State licensing or chartering, (b) accreditation by private non-governmental accrediting bodies or State agencies recognized by the U.S. Secretary of Education; and (c) compliance with Federal non-discrimination guidelines. ACAIE/DEAE formulate and publish accrediting criteria for recognition with which State/private accrediting bodies must comply for recognition. Only those State/private accrediting bodies with approved procedures and jurisdictions may qualify in the sense that their "accreditation" functions as an aspect of institutional eligibility for Federal funds. ACAIE/DEAE conduct periodic reviews of the accrediting bodies' policies related to the U.S. Department of Education's published criteria for renewal of recognition.

DEAE is comprised of 37 permanent full-time positions organized into two branches and a division director's office.

Program Scope:

As of September 30, 1979, ACAIE/DEAE have through the "tripartite" institutional eligibility process--private accrediting associations, State approval and licensing agencies, and the Federal government:

(a) recognized 75 private accrediting associations;
(b) recognized 10 State approval agencies;
(c) certified for Federal eligibility 9,042 postsecondary institutions; and
(d) recognized 8 State nursing boards.

Program Effectiveness and Progress:

In June 1972, the Office of Education contracted with the Brookings Institution, and later with the National Academy of Public Administration, to conduct a study on the use of accreditation for eligibility purposes.

Completed in 1974, the study of "Private Accreditation and Public Eligibility" by Dr. Harold Orlans, et al., recommended, among other findings, that:

(1) The Office of Education institute a program to improve the training of State education staffs to gain their cooperation in enforcing Federal eligibility conditions and to promote a fuller and more prompt exchange of information about postsecondary schools;

(2) Federally guaranteed student loan borrowers be protected in the event of school closure;

(3) Colleges as well as proprietary schools be required to notify students about their tuition refund policy; and

(4) Information about changes in the eligibility of postsecondary schools for Federal and State programs, Federal Trade Commission cease and desist orders, restrictions imposed by the courts or State officials and accrediting agency actions be more promptly and widely circulated.

Moreover, the report strongly recommended that a study be made to ascertain the number, proportion, and kinds of degree-granting and non-degree-granting schools which engage in specified malpractices, such as deceptive advertising and recruiting and inequitable refunds. Additionally, the "Private Accreditation and Public Eligibility Study", played a significant role in assisting the Office of Education to have Congress include new statutory program eligibility language in the Education Amendments of 1976.

Subsequently, in July 1975, the Office of Education contracted with the American Institutes for Research (AIR) to develop and field test a degree and non-degree-granting institutional informational system which would provide accurate and timely information on their student consumer practices.

The study "Improving the Consumer Protection Function in Postsecondary Education", has been completed. In part, the report concluded that:

(a) The categories, examples, and indicators of potentially abusive institutional conditions and practices produced by this project should be brought to the attention of the chief administrative officer of every institution which gains eligibility to participate in Federal student assistance programs;

(b) The information dissemination called for above should be followed by an assessment of the information's impact on institutional self-study and self-improvement;

(c) An information system should be established for sharing and disseminating State-agency produced Institutional Report Forms (IRF) scores for institutions which operate across State lines;

(d) USOE-recognized accreditation agencies should continue to urge an increased awareness of student consumer protection on their member institutions as an integral part of the accreditation process;

(e) The "continuous review (of) the criteria for determination of, or termination of eligibility for institutional participation in USOE-administered financial aid programs, and...appropriate recommendations for change" recently recommended by USOE's Task Force on Implementing Educational Consumer Protection Strategies should include consideration of minimum consumer protection standards based upon preventing the types of abuses listed in the report.

Additionally, the study developed a student guide entitled Safeguarding Your Education: A Student's Guide to College and Occupational Education, which was based upon the 14 different types of consumer abuses; it is now being commercially produced under copyright for national dissemination.

Authorization by State agencies is a prerequisite for institutions seeking to participate in Federal programs, since the States have the major constitutional responsibility for the governance of postsecondary institutions within their boundaries. With the States, therefore, having the major burden of consumer protection in postsecondary education, a study was needed to assess the degree to which postsecondary state oversight agencies provide student consumer protection by preventing or correcting abusive and potentially abusive institutional policies, practices, and conditions. Additionally, the study included (1) an in-depth profile of strengths and weaknesses of the State laws and enforcement resources, and (2) specific suggestions for strategies which could be used by the USOE to help State agencies require stronger laws and augment their enforcement resources.

The American Institutes for Research recently completed (December 1977) "A Study of State Oversight in Postsecondary Education." The study found that State authorizing/oversight requirements are relatively much more extensive for private non-degree-granting institutions, less extensive for private degree-granting institutions, and almost non-existent for public institutions. The report concluded that

- o stronger laws and regulations are needed, especially to (1) eliminate provisions that now exclude accredited institutions from State agency oversight, (2) provide stronger bonding or tuition-indemnification requirements, (3) provide and publicize statewide complaint-handling systems, and (4) improve the coordination and communications among the agencies that have various oversight responsibilities within each State; and
- o better communications and coordination are needed among licensing agencies in all States, especially in the degree-granting sector, to deal with problems created by institutions that operate across State lines.

Significant barriers now exist to improved consumer practices due to:

- o unwillingness of legislatures to make adequate appropriations for school oversight, due to a lack of understanding of the nature of the problem and general reluctance to approve funds for any form of State regulation;
- o strong and effective opposition by schools and accreditation bodies to increased levels of State agency oversight;
- o lack of agreement and cooperation among State education agencies about which agency should perform what functions; and
- o reluctance of law enforcement agencies and attorneys general to take strong action against educational institutions.

The contractor recommended that the Department of Education provide more effective internal audits and controls over the Federal student aid programs. Also USOE should provide:

- a communications and clearinghouse mechanism for the States, to allow State agency officials to better share information on their enforcement actions concerning schools that operate in more than one State, to achieve more consistent standards and, consequently, more reciprocity agreements for licensing, and to learn from each other's successes and failures;
- provide workshops and technical assistance, including legal experts and research studies, that will allow State agency officials to acquire new knowledge, skills, and techniques for oversight.
- provide some Federal operating funds, possibly on a matching basis, for supporting better State agency oversight if the oversight is to play a role in the eligibility of institutions for Federal programs;
- exercise stronger controls over accreditation agencies that seek to become recognized by USOE, especially to prevent them from accrediting unevaluated branch campus and off-campus programs.

In July 1978, the report on the study of State oversight was the basic working document for an invitational conference sponsored by the U.S. Office of Education and the Education Commission of the States. Conference participants were representatives from State authorizing and oversight agencies, legislators, governors' education aides, attorneys general, chief State school officers, congressional aides, and Federal agency staff.

The General Accounting Office released in 1979 its report on the assurance provided by OE's eligibility process. The major recommendations of the report were:

- GAO recommended that OE develop the capability to provide technical assistance and leadership to States to upgrade their postsecondary institution authorization and monitoring processes. The GAO also recommended that OE propose legislation to the Congress to provide adequate financial support to the States to improve the State authorization process.
- Provisions regarding the limiting, suspending, and termination actions against schools which mis-represent the nature of their programs, charges, or their graduates be implemented.

  The Secretary of Education issue regulations for schools applying for eligibility for OE financial assistance programs which provide for certain admission policies, provision of student completion and employment information, and fair and equitable refund policies.

Ongoing and Planned Evaluation Studies:

A study is being conducted to evaluate the USOE Criteria and Procedures for the Recognition of Accrediting and State Approval Agencies. Work is being conducted by the Educational Testing Service and will be completed in 1980. This study was designed to assess how well USOE's procedures for recognizing accrediting agencies distinguish agencies that can be relied on for accurate evaluations of educational quality from those that cannot. During the 10 year period from 1969 to 1978 USOE conducted approximately 240 evaluations of the organizational structure and procedures of more than 100 accrediting and state approval agencies concerned with postsecondary education. Nineteen percent of those evaluations resulted in denial of recognition or instruction to show cause why recognition should not be revoked. The remaining 81 percent led to recognition for periods of one to four years, depending on the number and the seriousness of the agencies' deficiencies. The requirements for recognition are embodied in 44 published criteria. The study evaluated the criteria as well as USOE's procedures.

Although the final report for this study is still in draft form, the major findings affecting the reliability and validity of the USOE criteria and procedures can be reported.

- o The USOE procedures reliably differentiate ineffective agencies from effective ones and remain stable from year to year in the interpretation and application of the criteria.
- o The recognition decisions over the ten-year period from 1969 to 1978 have consistently utilized virtually all the criteria; decisions have not rested dominantly on a limited number. The few criteria that have not discriminated between recognized agencies and those denied recognition have been criteria that are universally met, such as the requirement that the agency's standards be published.
- o Agencies denied recognition differ among themselves more widely than do the agencies recognized for three or four years. The major deficiencies of the agencies denied recognition tend to involve weak evaluative procedures, questions about the impartiality of their decisions, and nonrepresentative governing boards. Secondary deficiencies are related to small size and limited staff, budget, and experience.
- o To a large extent, the attributes that most sharply differentiated the recognized agencies from those denied recognition were also the attributes considered most important to an agency's effectiveness in evaluating educational quality. The major exception was lack of public representation on an agency's governing board, which had a significant role in the decisions but was generally considered relatively unimportant.

- A group of slightly more than 100 persons knowledgeable about accrediting from a variety of perspectives, when presented descriptions of agencies that had been evaluated and either recognized or denied recognition by USOE, agreed substantially with the USOE decisions. The measure of agreement between the actual decisions and the judges' decisions was .68, where 1.00 indicates perfect agreement. Agreement was close to perfect to the agencies denied recognition. The major source of disagreement involved agencies recognized for a limited period, where the judges tended to award recognition for a slightly longer period than the actual decision.

Sources of Evaluation Data:

Program files, Bureau of Higher and Continuing Education/DEAE.

Orlans, Harold, et al., Private Accreditation and Public Eligibility, Volumes I and II, The Brookings Institution and the National Academy of Public Administration Foundation, Washington, D.C. 1974.

Jung, Steven M., et al., Improving the Consumer Protection Function in Postsecondary Education, American Institutes for Research, Palo Alto, California, December 1976.

Jung, Steven M., et al., A Study of State Oversight in Postsecondary Education, American Institutes for Research, Palo Alto, California, December 1977.

Comptroller General, What Assurance does Office of Education's Eligibility Process Provide? HRD-78-120, U.S. General Accounting Office, Washington, D.C., January 17, 1979.

For further information about program operations,

Contact: Larry Friedrich, 245-2810

For further information about studies of program effectiveness,

Contact: Robert H. Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Language Training and Area Studies

Legislation:

National Defense Education Act of 1958 Title VI; Public Law 85-864; as amended by Public Law 87-344; as amended by Public Law 88-210; as amended by Public Law 88-665; as amended by Public Law 89-698; as amended by Public Law 90-575; as amended by Public Law 92-318; as amended by Public Law 94-482; as amended by Public Law 95-43, as amended by Public Law 94-482; transferred to Title VI of the Higher Education Act by Public Law 96-374

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization	Appropriation
1959	$ 8,000,000	$ 3,416,000
1960	8,000,000	7,300,000
1961	8,000,000	6,554,000
1962	8,000,000	8,000,000
1963	8,000,000	7,970,000
1964	8,000,000	8,000,000
1965	13,000,000	13,000,000
1966	14,000,000	14,000,000
1967	16,000,000	15,800,000
1968	18,000,000	15,700,000
1969	16,050,000	15,450,000
1970	30,000,000	13,002,000
1971	38,500,000	7,170,000
1972	38,500,000	13,940,000
1973	50,000,000	12,500,000
1974	75,000,000	11,333,000
1975	75,000,000	11,300,000
1976	75,000,000	13,300,000
1977	75,000,000	14,650,000
1978	75,000,000	15,000,000
1979	75,000,000	17,000,000
1980	75,000,000	17,000,000
1981	45,000,000	21,800,000

Program Goals and Objectives:

Programs for foreign language and area studies funded under Sections 601 and 602 of this appropriation have four major purposes: (1) increase the nation's manpower pool of trained specialists in foreign language, area studies, and world affairs; (2) provide in-service training to upgrade and update the professional knowledge and skills of existing specialists in foreign language, area studies, and world affairs; (3) produce new knowledge about other nations and cultures, particularly those of the non-western world, through research and development; and (4) develop improved curricula and effective instructional materials in foreign languages, area studies, and world affairs needed by education, government, and business. In 1979, funds became available for the first time to implement the new Section 603 of Title VI, NDEA, which was added to the legislation in 1976. Its purpose is to increase the understanding and awareness of United States citizens and students about the actions and cultures of other nations.

Sections 601 and 602 of the National Defense Education Act, Title VI, authorizes the award of grants and contracts to U.S. educational institutions, organizations, and individuals for activities conducted primarily in the United States. Program assistance includes institutional development, fellowship support, and research in foreign language, area studies, world affairs, and intercultural understanding. Section 603 authorizes the award of grants and contracts to any agency or organization to stimulate locally designed programs. Funds may be awarded to support in-service training of teachers and other educational personnel, compilation of existing information and resources, and dissemination. Priority is given to projects which are developed in conjunction with state and local education agencies; offer regional or statewide training or dissemination activities; demonstrate the potential for wide impact through mass media programs; and are conducted as part of community, adult, or continuing education programs.

Program Operations:

Sections 601 and 602

(a) The Secretary is authorized to make grants to or contracts with institutions of higher education for the purposes of establishing, equipping, and operating graduate and undergraduate centers and programs for the teaching of modern foreign languages, for instruction in other fields needed to provide a full understanding of the areas, regions, or countries in which such language is commonly used, or for research and training in international studies and the international aspects of professional and other fields of study. Any such grant or contract may cover all or part of the cost of the establishment or operation of a center or program, including the costs of faculty, staff, and student travel in foreign areas, regions, or countries, and the costs of travel of foreign scholars to teach or conduct research, and shall be made on such conditions as the Secretary finds necessary to carry out the purposes of this section.

(b) The Secretary is also authorized to pay stipends to individuals undergoing advanced training in any center or under any program receiving Federal financial assistance under this title, including allowances for dependents and for travel for research and study here and abroad, but only upon reasonable assurance that the recipients of such stipends will, on completion of their training, be available for teaching service in an institution of higher education or elementary or secondary school, or such other service of a public nature as may be permitted in the regulations of the Secretary.

(c) No funds may be expended under this title for undergraduate travel except in accordance with rules prescribed by the Secretary setting forth policies and procedures to assure that Federal funds made available for such travel are expended as part of a formal program of supervised study.

(d) The Secretary is authorized, directly or by contract, to make studies and surveys to determine the need for increased or improved instruction in modern foreign languages and other fields needed to provide a full understanding of the areas, regions or countries in which such languages are commonly used, to conduct research on more effective methods of teaching such languages and in such other fields, and to develop specialized materials for use in such training, or in training teachers of such languages or in such fields.

Section 603:

The Secretary may award grants and contracts to stimulate locally designed educational programs to increase the availability to students in the U.S. of information about the cultures, actions, and policies of other nations so that these students might make more informed judgments with respect to the international policies and actions of the United States. Funds may be used for (1) the in-service training of teachers and other educational personel, (2) the compilation of existing information and resources about other nations; or (3) the dissemination of information and resources to educators and education officials. Funds may not be used for the development of new curriculum or the acquisition of equipment or remodeling of facilities. The Foreign Language and Area Studies Program comprise 16 permanent full-time positions.

Program Scope:

Past studies of foreign language and area studies programs in the U.S. reveal the growth in the development of non-western studies since enactment of the NDEA in 1958. Whereas in 1958, some 37 "uncommonly taught" languages were offered in U.S. universities, in 1977 approximately 100 modern foreign languages were taught at NDEA centers; a 1970 survey of foreign language enrollments reveals that while higher education registrations in most of the foreign languages traditionally taught in American higher education have been in a distinct downward trend since 1968, student enrollments in Italian, Spanish, and in over 100 of the less commonly taught languages taken collectively have increased significantly--by 12.8 %, 6.7%, and 39.4% respectively.

While enrollments in the uncommonly taught languages are increasing, total enrollments in these languages remain small. For example, in 1970 there were only 5,319 undergraduate and 796 graduate students studying Chinese. By 1974-75 enrollments had increased to 9,468 undergraduate and 1,108 graduate.

Since the initiation of the NDEA, the section 602 Language and Area Studies Research program awarded some 709 contracts and 59 grants to educational institutions, professional organizations, and individuals, which resulted (by May 1980) in the completion of some 900 major reports on surveys and studies and instructional materials for language and area studies, as well as some 600 related publications. Items completed prior to November 1976 are listed in a cumulative bibliography produced by the program, List No. 8: NDEA Foreign Language, Area, and Other International Studies. (An up-date, List No. 9, is in preparation).

The NDEA foreign language training and area studies program provides a means for correcting existing disciplinary and geographic imbalances, broadening the scope of areas training, and improving and maintaining language skills.

In Fiscal Year 1980, approximately 85 centers will be supported serving about 300,000 people. It is expected that the average cost of a combined graduate/undergraduate center will cost about $94,000, while the average cost of an undergraduate center will be $54,000. Approximately 800 fellowships will be awarded averaging $5,700. In addition, 160 summer intensive fellowships will be supported. Seven exemplary graduate programs will be supported at an average cost of $37,326 as well as 26 undergraduate projects averaging $39,000. In addition, 28 research projects will

The new program begun in 1979 under Section 603, Citizen Education for Cultural Understanding, will continue to fund approximately 39 projects averaging $51,000 in 1980.

Program Effectiveness and Progress:

A review of foreign language and area studies programs in the U.S. (based on a sample of 13,000 foreign language and area studies specialists, of whom about 10,000 are college or university faculty members) has provided data on the impact of the NDEA program. A sampling of previous holders of NDEA VI fellowships showed that almost all (89.1%) of the fellows used their foreign area training in their first job. Of the Ph.D. graduates, 99% were employed as language and world area specialists. The survey also indicates that the existing pool of specialists needs more focused development in certain aspects in order to achieve an upgrading of language skills. Of the world area specialists surveyed, only 25% reported that they can easily speak, read, and write a language of their area. A major factor in acquiring and maintaining proficiency in foreign languages is the opportunity to utilize the language in a country where it is in regular use.

Studies on international and intercultural education and new curricula and instructional materials are intended for use in schools and colleges throughout the U.S. The impact of this program is suggested by a materials utilization survey which provides specific data on instructional materials for 50 different languages in 82 foreign language and area studies programs. Results of the survey show, for example, that of 24 respondent institutions engaged in teaching Chinese, 21, or 88 percent, were using materials produced under National Defense Education Title VI support; of 17 programs offering instruction in Hindi, 100 percent were using National Defense Education materials; and 6 out of 7 Arabic programs similarly reported utilization of National Defense Education Act-supported materials.

With Section 602 research appropriations, the following surveys of language study in the U.S. have been undertaken:

An Inventory of Soviet and East European Studies in the U.S., conducted by the American Association for the Advancement of Slavic Studies;

A Survey of Foreign Language Enrollments in Secondary Schools, in the Fall of 1978 (a biannual survey conducted by the American Council on the Teaching of Foreign Languages);

A Survey of Foreign Language Enrollments in Colleges and Universities, in the Fall of 1977 (a biannual survey conducted by the American Language Association);

A National Survey of Foreign Language Teaching in Elementary and Secondary Schools (in particular, teacher supply and demand), carried out by the American Council on the Teaching of Foreign Languages;

An Assessment of the State of the Art: Chinese language study in the U.S., to be conducted by the Center for Applied Linguistics.

An analysis of Iranian and American Perceptions and Cultural Frames of Reference: conducted by the Institute of Comparative Social and Cultural Studies, Inc.

The Comptroller General reported to the Congress in 1978 on the study of foreign languages and related areas. The report notes that recipients of Title VI program funds believe the Federal program administration to be fair and effective, and that the Federal program managers have made important improvements in the programs in the past several years.

Priorities for determining language and area studies grants are still being made using data derived from the late 1960's and early 1970's. While the report observes that determination of national needs in foreign language and area studies is difficult to do, it is unknown whether the greatest national needs are being met.

The Comptroller General's report concluded that additional administrative improvements are needed. Recommendations were made to:

Visit at least once every two years each of the 80 centers at institutions of higher education receiving Title IV grants.

Prepare and distribute to center officials and other appropriate parties a biannual report containing helpful "lessons learned" as gleaned from the reports submitted by each center to the Department of Education and visits to centers by staff members of the Department.

Provide feedback reports to the centers at least once a year on their reports to the Department of Education.

Develop a system to evaluate the effectiveness of the program providing starter grants to new international studies projects.

The President's Commission on Foreign Language and International Studies concluded in their recent report that "it will take a major, sustained national effort to raise American competence in foreign languages to levels commensurate with our nation's needs." The Commission also asserted that "international studies and language training programs are shrinking" while at the same time, "our needs for such training are intensifying." The Commission's report arrayed a host of recommendations intended to counter such declines and to increase national competency in foreign languages and international studies.

The Rand Corporation, in its report prepared for the President's Commission, presented findings that in some areas support the President's Commission conclusions but diverge in other areas. The findings from The Rand report that are most pertinent to the Language Training and Area Studies program are as follows:

o Study of all languages at colleges and universities has declined about 10 percent since the 1960s, while the study of uncommon languages has doubled in the past decade to a level of 60,000 students enrolled in college and university courses.

o The number of Ph.D.s awarded in area studies has been stable (with some recent evidence of declining Ph.D. degree enrollment); the quantity of M.A.s has been increasing.

o It has become harder to place Ph.D. graduates in recent years, except for those in economics, law, sociology, business, and other professional skills. M.A. placement has been somewhat easier, particularly for graduates of general schools of international affairs. There is also potential demand for specialists in such emerging international fields as demography, energy, and the environment.

o In other fields there is excess supply, brought about by the saturation of the academic job market, but the numbers of graduates have declined very little in response to fewer job openings.

- The decline in demand is not likely to be compensated for by government or business employment, and may imply the need for curtailing admissions unless new sources of demand appear or extant ones are expanded.
- Title VI fellowship funds should not be used to stimulate general levels of supply, but should be allocated selectively to produce specialized skills, higher levels of competence, and needed skill-mixes.

The Rand report also posited a series of perceived needs in the program area:

- The universities face a special problem in supporting specialists in rare languages and the more exotic areas of the world. The demand for their services is small, but subject to urgent demand from government in times of crisis.
- Increased fellowship funds for foreign study and research, and adequate released time for faculty;
- Acquisition of special library materials, which has been impeded by the loss of Ford Foundation funding and by mounting costs of processing;
- Maintenance of national research, exchange and training centers, such as The International Research and Exchanges Board (IREX) and the American Research Center in Egypt;
- Better training in spoken foreign languages, particularly for use in business, government and personal contacts.

Ongoing and Planned Evaluation Studies:

Evaluation of the Foreign Language Training and Area Studies Program, Rand Corporation, Santa Monica, California. The evaluation began on October 1, 1979 and is scheduled for completion at the end of 1981. The exploratory evaluation part of this study should be available in early-1981. The study seeks to improve the program's objectives and procedures and to provide a means to better allocate program funds by world areas and languages. FY 1980 or FY 1981.

In addition, these programs are being examined in light of the recommendations made by the President's Commission on Foreign Language and International Studies. These recommendations, which are included in the Commission's report entitled Strength Through Wisdom, call for significant increases in foreign language instruction and international education programming in the United States.

Sources of Evaluation Data:

Language and Area Studies Review, Richard D. Lambert (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

International Studies and the Social Sciences: A Survey of the Status of International/Comparative Studies and Recommendations Concerning National Needs and Priorities, James N. Rosenau (Minneapolis, Minnesota: International Studies Association, June 1971).

1970 Census of International Programs in State Colleges and Universities, American Association of State Colleges and Universities (Washington, D.C.: AASCU Studies 1971/3, August 1971).

Materials Development Needs in the Uncommonly-Taught Languages. Priorities for the Seventies. (A report of a conference held in Columbia, Md., in October 1974, published by the Center for Applied Linguistics, 1975).

A Survey of Materials for the Study of the Uncommonly-Taught Languages (in eight fascicles, one for each of the major geographical world areas), published by the Center for Applied Linguistics, 1976.

Western European Studies in the United States. (Stephen Blank, Council for European Studies, University of Pittsburgh, 1975).

International and Intercultural Education in Selected State Colleges and Universities: An Overview and Five Cases. (Audrey W. Gray, American Association of State Colleges and Universities, 1977).

CULCON Report on Japanese Studies at Colleges and Universities in the United States in the Mid-70's. (E.T. Massey and J.A. Massey, American Panel Secretariat: Japan Society, Inc., 1977).

Comptroller General of the U.S., *Study of Foreign Languages and Related Areas: Federal Support, Administration, Need*. September 13, 1978, Washington, D.C.

Foreign Language and International Studies Specialists: The Market place and National Policy. (A report for The President's Commission on Foreign Language and International Studies.) Sue E. Berryman, Paul F. Langer, John Pincus, and Richard H. Solomon (Santa Monica, California: The Rand Corporation, September 1979).

Strength Through Wisdom: A Critique of U.S. Capability. A Report to the President from the Presidents Commission on Foreign Language and International Studies. Government Printing Office., Washington, D.C. 1979.

Program Data.

For further information about program operations,

Contact: Ed Meador, 245-9691

For further information about studies of program effectiveness,

Contact: Robert Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Fulbright-Hays Act

Legislation:

Mutual Educational and Cultural Exchange Act of 1961. Section 102(b)(6); Public Law 87-256; as amended by Public Law 87-565; as amended by Public Law 89-698.

Expiration Date:

None

Funding History:

Year	Authorization	Appropriation
1964	1/	$1,500,000
1965		1,500,000
1966		2,000,000
1967		3,000,000
1968		3,000,000
1969		3,000,000
1970		2,430,000
1971		830,000
1972		1,323,000
1973		1,360,000
1974		1,360,000
1975		2,700,000
1976		2,700,000
1977		3,000,000
1978		3,000,000
1979		3,000,000
1980		3,000,000
1981		6,200,000

Program Goals and Objectives:

The purpose of this program is to promote and strengthen the capability of American education in those modern foreign languages, area studies and global issues where there is greatest need to improve American understanding by supporting group projects and fellowships in foreign countries for teachers and prospective teachers of United States schools, colleges, and universities to improve their skill in languages and increase their knowledge of the culture of these countries. The program also supports visits by foreign educators to the United States to improve foreign language training and international and intercultural education in United States schools, colleges, and universities.

1/ Indefinite, does not have specific money authorization.

Program Operations:

Programs funded under Section 102(b)(6) of the Fulbright-Hays Act provide opportunities to individuals for first-hand experiences in the locales of their respective specialization areas. Specifically, faculty and doctoral dissertation research fellowships are provided for updating and extending research knowledge, and maintaining and improving language skills. The program also supports group projects abroad for research and training, and curriculum consultant services of foreign educators to improve foreign languages, area studies and intercultural education in U.S. schools and colleges.

Programs for foreign language and area studies funded under this appropriation have four major purposes: (1) increase the Nation's manpower pool of trained specialists in foreign language and area studies, (2) provide inservice training to upgrade and update the professional knowledge and skills of existing specialists in foreign languages, and area studies, (3) produce new knowledge about other nations and cultures, particularly those of the non-western world; and (4) develop curricula and instructional materials in foreign language and area studies needed by education, government, and business. Three permanent full-time positions are provided for this program: program director, assistant, and secretary.

Program Scope:

The Fiscal Year 1980 appropriation of $3 million for this program will support 79 doctoral dissertation research fellowships, 14 group projects abroad, 12 foreign curriculum consultant grants and 24 faculty research fellowships. Four to seven special bilateral projects with Israel, Italy, and the Peoples' Republic of China will also be funded.

Program Effectiveness and Progress:

A recent review of foreign language and area studies programs in the U.S. demonstrated that adequate opportunities for research and study abroad are critical to improving the quality of foreign area specialists' training. Over 85 percent of the specialists included in the survey reported a need to increase opportunities for studying language in its natural setting. While in absolute terms there has been substantial growth in the numbers of specialists with some overseas experience, the survey reveals that on the average the depth of experience abroad is inadequate. Furthermore, although as a group the specialists have had experience in a wide range of countries, the research of a majority of the specialists has been clustered in a small number of countries. In brief, a few countries are overstudied, relatively speaking, while a large number are understudied. 1/

The Fulbright-Hays programs therefore provide a resource for training specialists in areas of greatest need and for helping improve the caliber of training in language and area studies through research and study abroad.

1/ Language and Area Studies Review. Richard D. Lambert (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

World-wide inflation and devaluation of the dollar have received considerable popular attention in the last ten years. For most Department of Education programs such international price movements have only had an indirect impact. However, the Fulbright-Hays program is directly and significantly affected by changes in exchange rates and international prices.

A recent study analyzed changes in exchange rates, international prices and purchasing power of U.S. dollars. The data show that exchange rates, or the cost of foreign currencies, actually decreased by 2.7 percent during 1971-77. However, price levels abroad increased by 98.6 percent during the same period. The combined effect of these two factors was an 82.7 percent increase in the cost of operations abroad. This is equivalent to a 10.5 percent rate of inflation in foreign prices compared with the 6.7 percent domestic inflation.

An examination of appropriations for the Fulbright-Hays program indicates that Fiscal Year 1977 appropriations would purchase only 82.5 percent as much as Fiscal Year 1974 appropriations. The data indicate that a Fiscal Year 1979 appropriation of at least $4,000,000 would have been necessary necessary in order to fund operations at the Fiscal Year 1974 level.

Ongoing and Planned Evaluation Studies:

The Fulbright-Hays programs are being examined in light of the recommendations made by the President's Commission of Foreign Language and International Studies. These recommendations, which are included in the Commission's report entitled *Strength Through Wisdom*, call for significant increases in foreign language instruction and international education programming in the United States.

Sources of Evaluation Data:

Program Data. Information collected in other reports listed under *Title VI* of the National Defense Education Act is also relevant for the Fulbright-Hays Program.

Language and Area Studies Review, Richard D. Lambert, (published in *August 1973* by the *American Aca*demy of Political and Social Science and the Social Science Research Council).

Changes in Purchasing Power of International Education Appropriations, Technical Paper, Office of Planning, Budgeting, and Evaluation U.S. Department of Education, September 1978.

Strength Through Wisdom: *A Critique of U.S. Capability*, a Report to the President by the President's Commission on Foreign Language and International Studies. Government Printing Office, Wash. D.C. 1979.

2/ *Changes in Purchasing Power of International Education Appropriations*, Technical Paper, Office of Planning, Budgeting, and Evaluation U.S. Department of Education, September 1978.

FULBRIGHT-HAYS (102(b) (6) GRANTS AWARDED:

By World Area: FY 1964-77 and FY 1978 1/

WORLD AREA	GRANTS TO U.S. CITIZENS						Grants to foreign nationals		U.S. and foreign totals	
	Doctoral dissertation research		Faculty research		Group projects[2]		Curriculum consultants			
	FY 64-77	FY 78	FY 64-77	FY 78	FY 64-77	FY 78	FY 64-77	FY 78	FY 64-77	FY 78
AFRICA	267	17	51	3	936 (48)	65 (3)	45	5	1,299	9
LATIN AMERICA AND WEST INDIES	286	18	73	10	566 (26)	53 (3)	64	4	989	85
EAST ASIA AND PACIFIC	433	35	159	11	1,081 (44)	112 (5)	29	2	1,702	160
WESTERN EUROPE	147	4	147	4	389 (19)		40	1	717	9
EASTERN EUROPE	251	22	160	17	1,641 (68)	174 (4)	13	3	2,065	216
NEAR EAST AND SOUTH ASIA	340	30	170	12	4,204 (708)	486 (26)	38	1	4,752	529
WORLD TOTAL	1,724	126	760	57	8,811 (413)	890 (41)	229	16	11,524	1,089

1/ All 1978 figures are for grants or funds obligated through September 30, 1978 for the 1978-79 academic year.

2/ Figures in parenthesis indicate the number of group projects and seminars funded.

Source: Fulbright Program Exchanges, Seventeenth Annual Report, Board of Foreign Scholarships, Washington, D.C., December 1979.

Program Data.

For further information about program operations,

Contact: Ed Meador, 245-9691

For further information about studies of program effectiveness,

Contact: Robert Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Ethnic Heritage Studies Program

Legislation:

Elementary and Secondary Education Act of 1965, Title IX, Part E, as amended under Public Law 92-318, Public Law 93-380, and Public Law 95-561.

Expiration Date:

September 30, 1984

Funding History:

Year	Authorization	Appropriation
1974	$15,000,000	$2,375,000
1975	15,000,000	1,800,000
1976	15,000,000	1,800,000
1977	15,000,000	2,300,000
1978	15,000,000	2,300,000
1979	15,000,000	2,000,000
1980	15,000,000	3,000,000
1981	15,000,000	3,000,000

Program Goals and Objectives:

This program provides opportunities for students to learn about their own cultural heritage and to study the cultural heritages of the other ethnic groups in the Nation. The purpose is to recognize the contributions of ethnic groups to American society, encourage mutual understanding cooperation, and ethnic cultures, and reduce social divisiveness.

Each program assisted under this title shall--

(1) develop curriculum materials for use in elementary or secondary schools or institutions of higher education relating to the history, geography, society, economy, literature, art, music, drama, language, and general culture of the group or groups with which the program is concerned, and the contributions of that ethnic group or groups to the American Heritage; or

(2) disseminate curriculum materials to permit their use in elementary or secondary schools or institutions of higher education throughout the Nation; or

(3) provide training for persons using, or preparing to use, curriculum materials developed under this title; and

(4) cooperate with persons and organizations with a special interest in the ethnic group or groups with which the program is concerned to assist them in promoting, encouraging, developing, or producing programs or other activities which relate to the history, culture, or tradition of that ethnic group or groups.

Program Operations:

The program authorizes grants to public and private nonprofit educational agencies, institutions, and organizations to assist them in planning, developing, and operating ethnic heritage studies programs.

Programs which are proposed for funding must be planned and carried out in consultation with an advisory committee that is representative of the ethnic group or groups with which the program is concerned. Project activities include curriculum material development, training, dissemination of materials, and cooperation with ethnic groups in the community served by each project. Emphasis will be placed on multi-ethnic endeavors that draw upon the cultural pluralism of the community.

In carrying out this title, the Secretary makes arrangements which utilize (1) the research facilities and personnel of institutions of higher education, (2) the special knowledge of ethnic groups in local communities and of foreign students pursuing their education in this country, (3) the expertise of teachers in elementary and secondary schools and institutions of higher education, and (4) the talents and experience of any other groups, such as foundations, civic groups, and fraternal organizations, which would further the goals of the programs.

Funds appropriated to carry out this title may be used to cover all or part of the cost of establishing and carrying out the programs, including the cost of research materials and resources, ethnic group and academic consultants, and training educational and community resource persons for the purpose of carrying out the purposes of this title. Such funds may also be used to provide stipends (in such amounts as may be determined in accordance with regulations of the Secretary to individuals receiving training as part of such programs, including allowances for dependents.

In FY 1974, 42 projects were funded with an average award of $56,000. During FY 1975, 49 grants averaging $39,000 were made in support of programs in 32 States and the District of Columbia. During FY 1976, 49 grants averaging $37,000 were funded in 32 States, the District of Columbia, and the Trust Territory of the Pacific Islands. In FY 1977, 64 grants averaging $36,000 were funded in 36 States, the District of Columbia, Virgin Islands, and Puerto Rico. In FY 1978, 56 grants averaging $40,000 were awarded in 28 States, the District of Columbia, and American Samoa. In FY 1979, 48 grants averaging $41,600 were awarded to 22 States, Guam, and the District of Columbia. In FY 1980, 58 grants averaging $51,700 have been awarded to 22 States and Territories.

In FY 1981, it is anticipated that 40 grants averaging $68,700 will be awarded to 35 States and territories. It is expected that at least 5 of the grants will be multi-year projects that focus on teacher training and dissemination of materials on a state-wide or district-wide basis. In addition, a contract to evaluate materials produced in the program and a contract to provide clearing house activities will be let.

Staffing for this program consists of 7 positions: program director, assistant, and secretary, administrative assistant and 3 program officers.

Program Effectiveness and Progress:

Each project contains a self-assessment in terms of constant review and professional criticism, as well as feedback from teachers and students and members of the community's ethnic groups.

With more states requiring the teaching of ethnic studies in the schools, there are indications of wider acceptances of ethnic programs, particularly in the concentrated multi-ethnic areas of the country. California, Illinois, Ohio, Pennsylvania, New York, and Michigan are requiring multicultural or ethnic heritage studies statewide. At least 34 States already have provisions supporting multicultural education in some aspects.

The present program has increased its emphasis on training and a major portion of financial support is in this area. With the advent of training as a major consideration, the materials already developed under the Title IX Ethnic Heritage Studies program will receive wider dissemination and utilization.

Since 1974, over 300 projects have been funded that have developed curriculum materials featuring 71 different ethnic groups. Approximately, 1,514 items were developed by the projects, 809 items are audiovisuals including cassett or audio tapes, videotapes/cassettes, slide programs, filmstrips, 16mm. films and records. Six hundred and fifty one items are printed materials to be used as teacher resources, bibliographies, curriculum guides, study units, teacher guides, and background readings, student materials, or teacher-training resources. Other materials include kits, and artifacts, posters, activity cards, games, data banks, computer files, transparencies, greeting cards, study prints, and traveling exhibits.

Subject areas in which ethnic studies developed program materials can be used vary widely from art to physical education; almost half (46 percent) of these materials, however, are in social studies and related areas. Slightly more than a fourth (28 percent) are in the humanities and related areas. The two areas of social studies and humanities comprise 74 percent of the program developed materials. The balance (26 percent) comprise a wide range of subject areas.

Ongoing and Planned Evaluation Studies:

A study is planned to begin in FY 1981 to assess the materials produced by 300 ethnic heritage products. Specific purposes of the study are as follows:

1980 Workload Data (estimated)

Total Program allocation	$3,000,000
Number of grants	58
Average award	$ 51,700
Number of contracts	1
Amount of contract	$ 200,000
Ethnic groups served--	65

Grant dollar total	$3,000,000
Number of awards	58
Average award	51,700
For training:	
Dollar total	$ 180,000
Number of awards	4
Average award	45,000
For curriculum development:	
Dollar total	$ 840,000
Number of awards	16
Average award	52,500
For dissemination:	
Dollar total	$ 60,000
Number of awards	1
Average award	60,000
For training and curriculum development:	
Dollar total	$ 30,000
Number of awards	1
Average awards	30,000
For training and dissemination:	
Dollar total	$ 60,000
Number of awards	2
Average award	30,000
For training, curriculum development and dissemination:	
Dollar total	$1,260,000
Number of awards	24
Average award	52,500
For curriculum development and dissemination:	
Dollar total	$ 540,000
Number of awards	10
Average award	54,000

1981 Workload Data (estimated)

Total Program allocation	$3,000,000
Number of grants	40
Average award	$ 68,700
Number of contracts	2
Amount of contract	$ 250,000
Ethnic groups served--	65

Grant dollar total	$2,750,000
Number of awards	40
Average award	68,700
For training:	
Dollar total	$ 450,000
Number of awards	7
Average award	64,280
For curriculum development:	
Dollar total	$ 385,000
Number of awards	7
Average award	55,000
For dissemination:	
Dollar total	$ 210,000
Number of awards	3
Average award	70,000
For training and curriculum development:	
Dollar total	$ 500,000
Number of awards	10
Average award	50,000
For training and dissemination:	
Dollar total	$ 875,000
Number of awards	5
Average award	175,000
For training, curriculum development and dissemination:	
Dollar total	$ 325,000
Number of awards	3
Average award	108,300
For curriculum development and dissemination:	
Dollar total	$ 250,000
Number of awards	5
Average award	50,000

(a) Appropriateness of materials for use in learning situations. These criteria will be discrete for student materials, teacher resources, and teacher training materials.
(b) ethnic authenticity of materials content.
(c) technical quality of production and potential for duplicating of print and non-print materials.

Sources of Evaluation Data:

Program information and Progress Reports from projects, and an Assessment of the First Year of the Ethnic Heritage Studies Program, a report published in 1977 and prepared under a Title IX Elementary and Secondary Education Act Grant awarded by the Ethnic Heritage Studies Branch of the U.S. Office of Education to the National Education Association in 1976.

For further information about program operations,

Contact: Lawrence E. Koziarz, 245-9506

For further information about studies of program effectiveness,

Contact: Robert Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Graduate/Professional Educational Opportunities Program

Legislation:	Expiration Date:
Public Law 89-329 Higher Education Act of 1965 (as amended by Public Law 92-318), Title IX, Parts A and B; extended by Public Law 96-374	September 30, 1985

Funding History: Year	Authorization 1/ Part A	Appropriation Parts A and B
1978	$50,000,000	$3,250,000
1979	50,000,000	8,000,000
1980	50,000,000	11,000,000
1981	50,000,000	11,000,000

Program Goals and Objectives:

The overall goal of this program is to provide needed opportunities for qualified students, particularly minorities and women who are underrepresented in the professions and many graduate fields, to receive the education necessary for entering the highest levels of professions, industries, government and colleges. There are two parts to the program. The objective of Part A which authorizes grants to institutions of higher education is to strengthen and improve graduate and professional programs leading to advanced degrees (other than medical degrees). Under Part A, grants may also be made to strengthen undergraduate programs when the Commissioner determines that strengthened undergraduate programs will contribute to the purposes of Title IX-A. The goal of Part B which authorizes the award of fellowships for graduate and professional students is to assist qualified students in obtaining the advanced training needed for careers in professional fields and fields where the doctorate degree is a requirement.

Program Operations:

Graduate/Professional Educational Opportunities Program awards are made on a competitive basis. Applications are sent to all institutions which have graduate and professional programs inviting them to apply for institutional and/or fellowship grants. Institutions receiving fellowship

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1/ In addition to these authorizations for Part A, the Secretary is authorized to appropriate such sums as may be necessary for up to 7,500 fellowships.

grants recommend to the Secretary qualified students who plan to obtain a doctorate or professional degree. College graduates apply for fellowships by applying to institutions which have been awarded fellowship grants. For FY 1979 and prior years, each fellow's stipend was $3,900 per 12 month period. In FY 1980, the fellow's stipend is increased to $4,500. An institutional allowance of $3,900 per year is provided for each fellow enrolled in the program. Fellows must be full-time students and ordinarily cannot have their fellowships renewed beyond a 36-month time period.

No set amount is allocated for institutional grants, though they are only awarded to institutions for programs which also receive fellowships. Grants may be used for faculty improvement; maintenance and improvement of quality of graduate and professional programs of study; acquisition of instructional equipment and materials; cooperative arrangements among graduate and professional schools; needed innovation in graduate and professional programs; and recruitment, retention, and counseling and career placement activities.

There are a number of limitations on the use of grant funds. They are awarded to strengthen only graduate and professional programs for which the institution receives fellowships. They may not be used for construction or renovation of buildings or the cost of leasing space. They may not be used for sectarian instruction or religious worship. They may not be used to finance more than two-thirds the cost of the project or activity described in the institution's application. They may not be used to finance more than one-half the cost of the purchase or rental of books, audiovisual aids, and scientific apparatus. Finally they may not be used for fellowship assistance to students.

Program Scope:

The first grants were awarded in Fiscal Year 1978. Fifty-five colleges and universities received approximately $3.2 million. Part of that sum, $2,761,200, provided fellowship assistance for 354 students from groups traditionally underrepresented in graduate and professional studies. The remainder, $485,340, funded grants to 26 colleges and universities to finance special recruitment, orientation, and retention programs for the new fellows.

For the academic year 1979-80, approximately 516 new and 315 continuing fellowships totalling $6,885,719 were made. Approximately 50 institutional grants totalling $1,114,281 were made. For academic year 1980-81, approximately 213 new and 789 continuing fellowships totalling $8,416,800 were made. Approximately 33 institutional grants totalling $357,718 were made.

Distribution of Fellowships - Graduate and Professional Opportunities Program
(Academic Year 1979-80)

	FEMALE					MALE					TOTAL USED	TOTAL UNUSED	TOTAL ALLOC.
	N.A.	BLACK	H.A.	A.A.	WHITE	N.A.	BLACK	H.A.	A.A.	WHITE			
FELLOWS	9	60	19	12	83	5	88	37	15	4	332	22	354
PERCENT OF TOTAL USED	2.7%	18%	5.7%	3.6%	25.0%	1.5%	26.5%	11.1%	4.5%	1.2%			
PERCENT OF TOTAL ALLOC.											93.8%	6.2%	100.0%

B - Black
H - Hispanic
U - Unused

NA - Native American
W - Women
* - Permanent Resident

PR - Puerto Rican
MA - Mexican American

AA - Asian American
CB - Cuban American

Source: Office of Postsecondary Education, Program files.

Program Effectiveness and Progress:

This program has been funded for academic year 1978-79, 1979-80 and 1980-81. Data on the second year recipients (see table 1 for more detailed information) suggests the program is well targeted on fellowship recipients with 57.7 percent female, 51 percent Black, 17 percent Hispanic, 6 percent Asian-American and 3.3 percent Native American. However, evidence on program success can in the final analysis only be judged by the success of its graduates in the academic market place. Further studies will focus upon this question.

Ongoing and Planned Evaluation Studies:

A evaluability assessment study of the graduate program funded under Title IX and XI is planned for 1980.

Sources of Evaluation Data:

Office of Postsecondary Education, Program files.

For further information about program operations,

Contact: Louis Venuto, 245-2347

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Legal Training for the Disadvantaged

Legislation:

Public Law 89-329 of the Higher Education Act of 1965 (as amended by Public Law 93-380), Title IX, Part D, Section 966; extended by Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1974	1/	$ 750,000
	1975	1/	750,000
	1976	1/	750,000
	1977	1/	750,000
	1978	1/	1,000,000
	1979	1/	1,000,000
	1980	1/	1,000,000
	1981	1/	1,000,000

Program Goals and Objectives:

One of the purposes of Title IX, Section 904, Legal Training for the Disadvantaged, is to enter into contracts with public and private agencies and institutions for the purpose of assisting persons from disadvantaged backgrounds, as determined by the Commissioner of Education, to undertake training in the legal profession. Administered by the Council on Legal Education Opportunity (CLEO), the program was established for the purpose of bringing about a significant increase in the number of lawyers from minority and disadvantaged groups. The program, formerly funded by the Office of Economic Opportunity (OEO), is now funded by ED. The FY 1974 appropriation was the first specifically for the program under ED direction.

Program Operations:

The administration of the CLEO program is handled through a non-competitive project grant to the Council on Legal Educational Opportunity with no matching requirements. CLEO conducts a nationwide search for eligible candidates to participate in the program. Applications are submitted to the CLEO central office where an initial screening is done. Eligible applications are forwarded to regional panels of law deans and other educators who make the final selection of students.

1/ This program was funded from private sources in 1968-1970, and was funded by the Office of Economic Opportunity and HEA, Title IV. In 1974, Section 966 was authorized and "Such sums as may be necessary" were authorized for appropriation.

The CLEO participants are typically those who have not met traditional law school entrance requirements. The CLEO training program, therefore, includes a six week intensive pre-law summer preparation program for these students prior to their entering law school. Participants are then supported with $1,000 fellowships for each of their three years of law school attendance. In addition, participating law schools waive the tuition and fees that would normally be charged to the students.

Program Scope:

In the 1979-80 academic year, 196 new students were supported in addition to 300 continuing students. Altogether 2,850 students have participated in the CLEO program which has involved 144 law schools.

Program Effectiveness and Progress:

Since its operation in 1968, the program has experienced a retention rate among its first-year students of about 80 percent, as compared to the 90 percent rate for law students as a whole. Since the program's inception in 1968 through 1978, a total of 2,722 students have successfully completed the summer institute programs, and of these, 2,629 have entered law school. Of the total possible number of eligible graduates at this time, 1,405 or approximately 70 percent have already graduated, a figure which compares reasonably well with the national norm. An additional 652 students have withdrawn from or failed in law school. Available data on students who participated in the legal training for the disadvantaged program from 1968 to 1979 are summarized in Table 1.

Considerable efforts have been made through the program to increase the number of women going to law school. Forty-six percent of the current participants are females. Similar efforts have been made to attract minorities. Table 2 summarizes the information on the ethnic background of the current participants. As the table indicates, the majority (approximately 54 percent) of participants are Blacks. However, a large number of ethnic minorities have participated in the program.

Ongoing and Planned Evaluation Studies:

The Education Amendments of 1976 require the evaluation of a number of HEA Title IX programs, including Part D. ED has completed the first annual study in response to this requirement. The second report, combined for the years 1979 and 1980, was completed in January 1981.

Sources of Evaluation Data:

Program files, Division of Training and Facilities, Office of Postsecondary Education.

Applied Management Sciences, "A Study of Specific Federally Funded Graduate Education Programs," February 1978.

Data from Council on Legal Education Opportunity, December 1978.

For further information about program operations,

Contact: Alan Schiff, 245-2347

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

Table 2

Ethnic Composition of CLEO Participants in 1979 1/

American Indian	3
Appalachian	2
Asian American	14
Black	301
Black Panamanian	1
Black West Indian	1
Caucasian	10
Chicano	139
Cuban	10
Dominican	1
Filipino	1
Hawaiian	1
Italian American	1
Puerto Rican	52
Spanish Surname	6
Other Groups	5
TOTAL	568

1/ Data obtained from Council on Legal Opportunity.

Table 1

Summary of Information on CLEO Participants 1/

Year Participating in CLEO	# Students Participating	# Completing Summer Institute Successfully	# Entering Law School	# of CLEO Graduates	# Students in Law School Presently Receiving CLEO Aid	# in Law School Not Receiving CLEO Aid	# Withdrawn	# Passing Bar 2/	# Failing Bar
1968	161	151	131	84	0	0	8	69	7
1969	448	444	400	292	2	0	8	176	30
1970	212	197	191	130	0	0	61	83	10
1971	221	210	207	137	0	0	70	61	3
1972	217	213	210	141	0	0	69	55	5
1973	233	229	218	158	0	0	60	53	8
1974	225	225	219	160	0	0	59	53	6
1975	251	244	234	156	0	0	52	46	12
1976	220	216	205	148	6	10	36	2	N/A
1977	220	208	197	N/A	152	2	47	N/A	N/A
1978	217	213	203	N/A	159	7	36	N/A	N/A
1979	224	222	214	N/A	206	7	6	N/A	N/A
TOTAL	2,850	2,722	2,629	1,405	523	26	652	598	81

1/ December 1979 Data Report from Council on Legal Education Opportunity.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Domestic Mining and Mineral and
Mineral Fuel Conservation Fellowships

Legislation:	Expiration Date:
Public Law 89-329 of the Higher Education Act of 1965 (as amended by Public Law 92-318), Title IX, Part D; extended by Public Law 96-374.	September 30, 1985

Funding History: Year	Authorization	Appropriation
1975	1/	$1,500,000
1976	1/	3,000,000
1977	1/	4,500,000
1978	1/	4,500,000
1979	1/	4,500,000
1980	1/	4,500,000 2/
1981	1/	1,150,000

Program Goals and Objectives:

The purpose of this legislation is to assist, through fellowships, graduate students of exceptional ability for advanced study in domestic mining and mineral and mineral fuel conservation including oil, gas, coal, oil shale, and uranium. Such students must demonstrate financial need to qualify.

Program Operations:

Institutions of higher education apply directly to the Office of Education. The applications are reviewed and rated by panels of academic experts chosen from outside the Office. Allocations of fellowships are then made to the successful applicants who, in turn, select and nominate to the Secretary of Education the persons they recommend for these fellowships.

Fellowships are awardable for any level of pre-doctoral study. Tenure cannot exceed 36 months, except an additional 12 months may be awarded by the Secretary under special circumstances. The usual duration is about 18 months.

1/ The Secretary is authorized to appropriate "such sums as may be necessary" to support up to 500 fellowships.

2/ Of this amount, $97,150 was used for additional funding of fiscal year 1979, two-year awards.

The Secretary awards to the fellowship recipients such stipends as he may determine to be consistent with prevailing practices under comparable federally supported programs. For FY 1979 and prior years each fellow received a stipend of $3,900 for a 12-month period. In FY 1980, the fellow's stipend will be increased to $4,500. The institutions receive an institutional allowance of $3,900 per year for each fellow enrolled in the institution.

Program Scope:

Table 1

Summary of Fellowships and Awards
1975 to 1979 3/

Fiscal Year Funds	Total No. of Fellows	No. of New One-Year Awards	No. of New Two-Year Awards	No. of Continuing Fellows	Average Cost of A-Fellowship
1975	180	180	--	--	$8,000
1976	375	229	--	146	8,000
1977	500	224	76	200	7,800
1978	500	136 1/	76	288	7,800
1979	462	25 2/	161	276	7,800
1980	281	80 3/	196	5	8,400

Characteristics of 323 fellows are presented in Table 2. They show that the fellows are a predominantly male group of students (92 percent). Three-quarters of the fellows were pursuing a Masters degree, while at least 45 doctoral students were supported. The majority of the students were involved in research, while 22 percent had practical field experience. The majority (62 percent) of the fellows were in engineering curriculums, and geology was the most studied science area (55 fellows).

Program Effectiveness and Progress:

The final reports submitted to the Department of Education from institutions awarded fellowship grants for 1976-77 were summarized in the Secretary's 1978 report to Congress. These reports contained complete financial statements and objectives of the programs; some also included the level of study pursued by the fellows, the activities they engaged in and their standing at the end of the year. In addition, information on the positions obtained by the fellows and the strengths and weaknesses of the program were sometimes discussed.

1/ In FY 1978, of the 136 new fellows, 25 fellows received a one-year award to write their doctoral dissertations.

2/ Doctoral dissertation awards.

3/ These Fellowships varied from twelve to twenty-one months.

Table 2

Characteristics of Mining Fellows
FY 1976-77

	Sex		Level of Study			Activities		Graduate		Standing at End of Year				Positions Obtained 1/		
	Male	Female	Master	Ph.D.	Unknown	Research	Practicum	M.	Ph.D.	Continuing	Unknown	Vacated	Replaced	Related	Unrelated	Unemployed
Frequency	297	26	236	45	42	253	70	45	6	204	19	8	41	45	4	2
Percentage	92	8	73	14	13	78	22	14	2	63	6	2	13	88	8	4

1/ Number of Graduates.

It should be kept in mind that some of the figures reported in this summary may be lower than actually is the case. For example, it is reported that 45 fellows secured employment in related fields. This number may, in actuality, be higher, since, final reports on the fellowship programs were not submitted by 6 of the 48 institutions awarded grants. Consequently, information on 87 fellows were lacking and had to be obtained elsewhere, such as from the grant application itself or from letters of correspondence in the program files--where possible.

By the end of the year, 51 of the fellows had graduated, with 45 receiving the Masters degree and 6 the Ph.D. (see Table 3). Most of the fellows continued their studies the following year, since most of these degrees were multi-year programs. While there were 49 fellowships vacated, most of the positions were replaced with alternates (41). From the available information, it appears that, at least 45 of the fellows had secured employment in related fields.

Ongoing and Planned Evaluation Studies:

The Congressionally mandated annual report on Title IX, HEA Graduate Programs is due January of each year.

Proposed exploratory evaluation of HEA Title IX programs is expected in FY 1980.

Sources of Evaluation Data:

Program Files, Division of Training and Facilities, Office of Postsecondary Education.

The Annual Commissioner's Report on Title IX Graduate Programs.

For further information about program operations,

Contact: Louis Venuto, 245-2347

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Public Service Fellowships and Institutional Grants

Legislation:

Public Law 89-329 Higher Education Act of 1965 (as amended by Public Law 92-318), Title IX, Parts A and C; extended by Public Law 96-374.

Expiration Date:

September 30, 1985

Funding History:

Year	Authorization 1/ Part A	Appropriation Parts A and C
1973	$30,000,000	--
1974	40,000,000	--
1975	50,000,000	$4,000,000
1976	50,000,000	4,000,000
1977	50,000,000	4,000,000
1978	50,000,000	4,000,000
1979	50,000,000	4,000,000
1980	50,000,000	4,000,000
1981	50,000,000	2,000,000

Program Goals and Objectives:

The overall goal of this program is to expand and improve the training of persons for the public service, including service in nonprofit organizations. There are two parts to the program. The objective of Part A, which authorizes grants to institutions of higher education, is to establish, strengthen and improve programs for graduate or professional students who plan to pursue a career in the public service. The goal of Part C, which authorizes the award of fellowships for graduate and professional students who plan to pursue a career in the public service, is to assist qualified students in obtaining advanced training for such careers.

Program Operations:

Public service awards are made on a competitive basis. Applications are sent to all four-year colleges and universities inviting them to apply for institutional and/or fellowship grants. Institutions receiving fellowship grants agree to recommend to the Secretary students of superior promise who plan to enter public service.

1/ In addition to these authorizations for Part A, the Secretary is authorized to appropriate such sums as may be necessary for up to 500 fellowships under Part C.

College graduates apply for fellowship by applying to institutions which have been awarded fellowship grants. For FY 1979 and prior years each fellow'sstipend will be increased to $4,500. An institutional allowance of $3,900 per year. In FY 1980, the fellow's stipend will be provided to the institution for each fellow enrolled in the program. Fellowships are awarded for full-time study only for a minimum of 9 months up to a maximum of 36 months.

No set amount is allocated for institutional grants, though they are only may be used for improving faculty; expanding public service programs for graduate study; strengthening administrative operations; carrying out cooperative arrangements with other graduate or professional schools; purchasing or renting educational materials; and recruitment, retention, and counseling and career placement activities.

As of this writing, funds have been held up for fiscal year 1980 budget.

Program Scope:

In Fiscal Year 1979, institutional grants totalling $503,650 went to 29 colleges and fellowships grants totalling $3,496,350 went to 79 colleges and benefitted 269 new fellows, and 161 continuing fellows. Fifty-five of the new fellows received multi-year awards.

Public service programs funded (92) in academic year 1976-77 were primarily in public institutions (N=68; 74 percent) and were usually in departments of public administration, public affairs, urban studies, or political science. Over half (N=52; 57 percent) granted the MPA degree, and only 17 reported granting a doctorate, i.e., Ph.D., D.P.A. or D.U.A. Quite frequently they were interdepartmental or interdisciplinary programs (35), in that students were encouraged to take courses in other departments or that the faculty represented several disciplines. Many programs also have developed cooperative arrangements such as joint degree programs or speciality training with other graduate schools or departments. Somewhat fewer programs (20) had a primary emphasis on training students who already worked in the public service. Others (12) had a special orientation in their programs, such as an emphasis on business management, or providing practical experience.

The programs focused on preparing students to work at the local and state level (45) and/or emphasized training generalists (27). Some emphasized specific areas of training, such as urban management (15), and rural management (5). About half of the programs were two-year master's programs, while 17 could be completed in 1 year and 25 completed in 18 months. The concern for enrolling women and minorities was not as great as the previous year. Only 13 (18 percent) institutions indicated that special efforts were made to recruit from among these groups.

In academic year 1976-77 institutional grants were awarded to 80 programs. The amounts ranged from $8,000 to $50,000, and a total of $2 million was awarded.

These institutions used the funds in a variety of ways, the single most frequent being staff improvement. Forty-one programs (51 percent) hired new faculty, and 80 programs (100 percent) had some kind of special training for faculty (and sometimes students). This training usually took the form of workshops, conferences, and seminars, either on or off campus. Staff improvement also included bringing practitioners on campus as part-time faculty or as resources for the workshops and seminars.

The programs were improved by the development and addition of new courses (35 schools) and by expanding the internship programs (35 schools). The latter might have involved hiring a director, providing faculty release time to supervise interns, developing new positions for interns, or increasing the number of interns in the program. Finally, funds were often used to support administrative staff in order to improve the administration of the program.

Seventy-three institutions were awarded fellowship grants worth $2 million to support 250 new and 105 continuing fellowships. The fellowship program was changed in two ways that responded to criticism from the previous year. Most of the 1975-76 fellows who had not yet completed their program were given continued funding, and thus offered some security throughout the length of the degree program. Also the fellowships for those completing their degree or vacating their fellowship, could then be transferred to another deserving student for the remainder of the year. Thus, actually 377 students were fellowship recipients, instead of the planned 355.

Table 1 indicates the majority (57 percent) of the 1976-77 fellows were male. All but two of the fellows were pursuing Masters degrees. Most of the fellows participated in internships (361), while 26 were involved in research. This may be misleading, since most students had thesis or major paper requirements that would involve research as well as practical experiences.

Program Effectiveness and Progress:

Table 2 describes the status of the fellows at the end of the grant year showing that 128 fellows completed the degree programs and 162 were continuing as students in 1977-78. Of the 33 vacated fellowships, many were mid-year graduates, while others left for employment and personal reasons. Almost all vacated fellowships were filled with replacements. Of the 1976-77 fellows, 141 secured employment in a public service related position. Some fellows also found employment, in unrelated areas (22), usually with profit-making organizations, while 47 were either still seeking employment or were continuing their education elsewhere.

The emphasis on educating practitioners is seen in that 155 fellows were reported to have participated in an internship, while only 34 were reported to have engaged in research. This may have been due, in part, to the fact that so many students had not yet graduated and may have been planning to do research later.

Table 1

CHARACTERISTICS OF PUBLIC SERVICE FELLOWS (N=377)

Fiscal Year 1976-77

	Sex		Level of Study		Activities as Student	
	Male	Female	Masters	Ph.D.	Internship	Research
Frequency	212	165	375	2	349	26
% of Fellows	56	44	99	1	93	7

Source: Program Files

Table 2

STATUS OF 1976-77 PUBLIC SERVICE FELLOWS (N=377)

Fiscal Year 1976-77

	At End of Year				Positions Obtained		
	Graduates	Continuing Students	Vacated Fellowship	Unknown	Public Service	Other	Unemployed or seeking Further Degree
Frequency	128	162	33	54	141	22	47
% of Fellows	34	43	9	14	37	6	12

Source: Program Files

Institutions receiving fellowship grants were asked to identify strengths and weaknesses of the program. Of the 73 who commented on the program, the largest number noted that the grant provided needed financial support to students, allowing them to pursue their degrees on a full-time basis. Other positive effects were as follows:

- o Attracted interest in the department and the public service (11).
- o The cost-of-education funds allowed for services to be provided to be provided to the fellows, such as travel or opportunities to become involved in improving the program.
- o The cost-of-education funds allowed for services to be provided to non-fellows and/or to support the program (14). This applied to public institutions with low tuition.

The most commonly mentioned weakness was the lack of sufficient time between notification of the award and the beginning of the fall term, thus prohibiting national recruitment for fellows. Ten institutions mentioned this. Other weaknesses were:

- o Awards too late to recruit faculty (6).
- o An insufficient number of fellowships were awarded (3).

Ongoing and Planned Evaluation Studies:

HEA Amendments of 1976 have mandated an annual report on and evaluation of the graduate fellowship programs. OED, working with the program staff, has completed and forwarded this year's report.

Sources of Evaluation Data:

Program files, Division of Training and Facilities.

For further information about program operations,

Contact: Louis Venuto, 245-2347

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Law School Clinical Experience Programs

Legislation:

Public Law 89-329 Higher Education Act of 1965 (as amended by Public Law 92-318), Title IX, Part E, extended by Public Law 96-374

Expiration Date:

September 30, 1985

Funding History:	Year	Authorization	Appropriation
	1978	$7,500,000	$1,000,000
	1979	7,500,000	2,000,000
	1980	7,500,000	4,000,000
	1981	7,500,000	3,000,000

Program Goals and Objectives:

The overall goal of this program is to provide clinical experience to students in the practice of law particularly in the preparation and trial of cases.

Program Operations:

In a competitive process, grants or contracts are awarded by the Commissioner to some accredited law schools to establish or expand programs which provide clinical experience to students in the practice of law. The Federal share of cost may not exceed ninety percent. Funds may cover expenditures for planning, training faculty, hiring new faculty, travel and per diem for students and faculty, reasonable stipends for students for work in the public service not performed during the academic year, equipment, and library resources. The maximum grant a law school may receive in any Fiscal Year is $75,000.

Program Scope:

For the academic year 1978-79, $1,000,000 was awarded to 29 law schools to establish or expand programs that provide law students with actual law experience. Institutions receiving the grants which ranged in size from $29,000 to $56,000 are located in 24 States and the District of Columbia.

For the academic year 1979-80, it is expected that 56 institutions will be awarded grants. Fiscal 1980 awards have been made to 84 institutions, totalling approximately $4 million.

Program Effectiveness and Progress:

Since the awards have been made so recently, it is not possible to determine their effectiveness at this time.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

For further information about program operations,

Contact: Louis Venuto, 245-2347

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

C.

Evaluation of Education Programs for the Handicapped

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Aid to States for Education of Handicapped Children in State-Operated and State-Supported Schools

Legislation: | **Expiration Date:**

ESEA Title I, Sections 146-147 (P.L. 89-313), as amended by P.L. 93-380, and P.L. 95-561 | Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION 1/	APPROPRIATION
	1966	$ 15,917,101	$ 15,917,101
	1967	20,462,448	15,078,410
	1968	24,746,993	24,746,993
	1969	29,781,258	29,781,258
	1970	37,475,507	37,475,507
	1971	46,129,772	46,129,772
	1972	56,380,937	56,380,937
	1973	75,962,098	75,962,098
	1974	85,772,779	85,777,779
	1975	183,732,163 2/	183,732,163
	1976	111,433,451	111,433,451
	1977	121,590,937	121,590,937
	1978	132,492,071	132,492,071
	1979	143,353,492	143,353,492
	1980	150,000,000	145,000,000
	1981	165,000,000	165,000,000

Program Goals and Objectives:

This program was designed to provide Federal assistance to State agencies which are directly responsible for providing free public education for handicapped children. Handicapping conditions include mental retardation, hard of hearing, deaf,

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1/ The authorization level under this legislation is determined by formula and taken from the total Title I appropriation prior to any other allocation of Title I funds. See text for definition of the formula. Appropriation designated in terms of "year of use."

2/ Commencing in 1976 the program is advance funded from prior year appropriation. This resulted in a doubling up of funding in 1975. Funds are shown in the year appropriated.

speech impaired, visually handicapped, seriously emotionally disturbed, orthopedically impaired, deaf-blind, specific learning disabilities, multi-handicapped or other health impairments requiring special education. State agencies are authorized to use Federal assistance only for programs and projects which are designed to meet the special educational needs of these handicapped children. Acquisition of equipment and construction of school facilities may be included in these projects. Assurances must be given that each child will be provided with programs to meet his special educational needs. The primary emphasis of this program is to fund institutions: (1) which provide full-time residential programs to those children requiring this service, (2) which provide special itinerant services on a part-day basis for children who are enrolled in regular day school but require special, additional assistance, and (3) for children confined to their homes because of the severity of their handicap. The program funds institutions which are directly responsible for the education of children in numbers (1)-(3) above.

Program Operations:

Federal funds under this program are advance funded; i.e., funds appropriated in a given fiscal year are obligated for expenditure in the succeeding fiscal year, as determined by a formula. This formula is based upon the number of eligible handicapped children counted in average daily attendance (ADA), in an elementary or secondary program operated or supported by a State agency, multiplied by 40 percent of the State per pupil expenditure (or no less than 80 percent or more than 120 percent of the National Per Pupil expenditure). With the amendment of P.L. 89-313 in 1974, children in average daily attendance (ADA) in a State agency who return to an LEA are eligible to participate in the P.L. 89-313 program. The eligibility criteria for LEA participation are:

- The child must have been reported previously in the ADA of a State agency.
- The child must be currently enrolled in an appropriately designed special educational program in the LEA.
- The State agency transfers to the particular LEA funds generated by each such child.

The Bureau of the Education of the Handicapped (BEH) is responsible for the Federal administration of this program. BEH allocates the funds to State agencies. Applications for the project funds are then submitted by participating institutions/schools to their supervising State agency. Those applications approved by a State agency are forwarded to the State education agency (SEA) for final approval and release of funds. All participating institutions/schools must submit end of year reports to its State agency accounting for the expenditure of funds and providing an evaluation of project activities.

Program Scope:

In FY 80 (i.e., FY 79 appropriation) approximately $143.3 million was allocated to the 50 States, the District of Columbia, Puerto Rico, Guam, and the Virgin Islands.

The funds allocated were administered by 145 State agencies which supervised project participation at 3,898 State schools, 3,186 local educational agencies and local schools. The average daily attendance reported by these institutions was 225,480 children, as of October 1978. Those children benefitting under the program are distributed across the following handicap categories as follows: Mentally Retarded - 114,260; Deaf - 23,884; Hard of Hearing - 3,592; Emotionally Disturbed - 31,729; Deaf-Blind - 825; Orthodpedically Impaired - 7,906; Other Health Impaired - 4,155; Visually Handicapped - 9,611; Speech Impaired - 6,185; Specific Learning Disabled - 13,289; and Multihandicapped - 10,044. The average per pupil expenditure is $636.

Program documentation indicates that FY 80 program funds will be administered by 145 State agencies which will supervise activities of 4,238 State schools and 3,877 local educational agencies and local schools. The funds appropriated in this fiscal year, for use in school year 1980-81, should provide services to approximately 234,000 children. The projected average cost per child served should be $620.

Program Effectiveness and Progress:

An assessment of the P.L. 89-313 program was completed by Rehab Group, Inc. in September, 1979. The data collection and analysis effort in 15 states (35 state agencies) and 73 direct service providers had several objectives:

a. State Agencies

(1) Administration of the Program - examination of administrative models in operation and the manner in which the following functions are handled: monitoring, auditing, project evaluation, project approval, and personnel assignments. The analysis would include a review of the methods by which ADA counts are validated.

(2) Program Standards - an examination of the standards for program operation in relation to State regulation standards for LEAs.

(3) Fiscal Analysis - review of the allocation and distribution of P.L. 89-313 funds and a description of the procedures used to track funding allotments as they flow to the LEAs (i.e., the transfer provision). A comparison, by handicapping conditions, of the expenditures for services for P.L. 89-313 eligible children.

b. State Institutions/day programs

(1) Program Standards - review of the standards for admission, child assessment, program evaluation, personnel requirements, and pupil/teacher ratios; and to determine what standards exist and how they compare to standards set at the SEA level.

(2) Program Characteristics of Service Delivery Providers - review of the programs/services provided to handicapped children eligible under P.L. 89-313 funding.

(3) Fiscal Analysis of Services Provided - a review of the uses of State and local funds compared to Federal monies.

The major findings according to four major areas of inquiry follow:

Program Administration

The administrative structure in the State Education Agencies has changed so as to place more importance on the total special education program. The states have implemented administrative procedures which allow systematic monitoring of the providers for compliance with state and Federal requirements. This includes procedures for ensuring fulfillment of the P.L. 93-380 Local Education Agency transfer provisions. Fiscal accountability is maintained in the majority of study states by both State Education Agencies and State Agencies.

Some of the administrative questions related to the provision of services. For example, the majority of states have established guidelines for defining basic vs. supplemental services. Even so, a problem still exists in detemining whether services are basic or supplemental. Another inquiry related to the question of targeting of funds. In general the respondents at the state level did not favor targeting as a means of improving their education programs.

Program Standards

The states have standards of quality which meet or even surpass federal requirements. There have been some changes in recent years which have impacted the program administration, availability of funds, and staff responsibilities. These changes have included the increase in state staff responsibilities and the availability of fewer funds per child because of increased services being mandated by state standards.

Service Delivery

Due to deinstitutionalization, the less severely handicapped are being served in Local Education Agency settings. The majority of clients, therefore, being served in state-operated and state-supported schools are severely and multihandicapped. Despite this fact, the state-operated and state-supported schools in the sample are emphasizing the educational and related service needs of clients being served. This includes the development of individualized education programs (IEPs) for each child or youth in their program.

Program Financing

The majority of study states reported an increase in state funding allocations for special education occuring during the past five years. The state also reported that federal aid accounted for a small portion of total revenues.

Several major recommendations were presented in the report. The results of the study strongly suggest that the funds expended have been successful in upgrading the quality of education programs at state-operated and state-supported schools. It is recommended that Federal funding to meet the needs of handicapped children and youth in these schools be continued.

It is recommended that current Local Education Agency transfer provisions be eliminated. This requirement has proven to be extremely difficult to implement. In most states visited the State Agency respondents indicated that the local school districts did not wish to avail themselves of these funds because of the extensive paperwork involved.

Sources of Evaluation Data

1. Office of Special Education program information.

2. "Assessment of Educational Programs in State-Supported and State-Operated Schools", Rehab Group, Inc., Falls Church, Virginia; September, 1979.

For further information about program activities,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Eugene Tucker
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Grant Program

Legislation:

P.L. 91-230, Part B,as amended by P.L. 93-380, as amended by P.L. 94-142, and P.L. 95-561, Assistance to States for Education of Handicapped Children

Expiration Date:

Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1967	$ 51,500,000	$ 2,500,000
	1968	154,500,000	15,000,000
	1969	167,375,000	29,250,000
	1970	206,000,000	29,190,000
	1971	200,000,000	34,000,000
	1972	216,300,000	37,500,000
	1973	226,600,000	50,000,000
	1974	226,600,000	47,500,000
	1975	1/	200,000,000 2/
	1976	1/	200,000,000 3/
	1977	5/	315,000,000 4/
	1978	5/	566,030,073 6/
	1979	5/	804,000,000
	1980	5/	874,500,000
	1981	5/	922,000,000

1/ Authorization: Number of children between 3 and 21 multiplied by $8.75.

2/ Includes $90 million in a second supplemental appropriation bill.

3/ Double appropriation changing program to advance funding mode.

4/ $63,230,073 of this amount was carried over into the next fiscal year.

5/ Authorization: Number of handicapped children aged 3-21 multiplied by 5% of APPE (FY 1977), 10% of APPE (FY 1978), 20% of APPE (1979), 30% of APPE (1980) and 40% of APPE (1981 and thereafter).

6/ Includes $37,800,000 supplemental and $63,230,073 carried forward from FY 1977 appropriation.

Program Goals and Objectives:

The primary goal of this program is to assist states to provide full educational opportunities to all handicapped children. Through grants to States, the program design is to assist in the initiation, expansion and improvement of programs and projects for the handicapped (3-21 years of age) at the preschool, elementary and secondary levels. The grants are intended to increase the quality and quantity of programs for handicapped children. Federal and local resources are used in order to insure that all handicapped children receive a free, appropriate public education designed to meet the child's unique educational needs; and further, to guarantee that each child is educated in the least restrictive environment in accordance with his/her special needs.

Program Operations:

Prior to FY 77, nonmatching grants were made to States and outlying areas. The program was advance funded; i.e., funds appropriated in a given fiscal year were obligated for expenditure in the succeeding fiscal year. Funds were allocated to States on the basis of the number of children in each State 3-21 years of age multiplied by $8.75, ratably reduced with a minimum $300,000 grant.

Beginning in FY 78 (September 1, 1978) the Education of All Handicapped Children Act, P.L. 94-142, required all States to provide a free appropriate education to all handicapped children 5-18 years of age (and 3-5 years of age, providing that this age range corresponds with State law). Any State requesting a grant is required to submit to the Commissioner, through its State Educational Agency, a State plan. State plans are required to demonstrate: (1) the policies and procedures used to implement the program objectives; (2) the manner in which the administration of the plan is to be conducted; (3) provide assurance that the control and administration of funds is performed by a public agency; and, (4) assure that every attempt will be made to identify and serve all handicapped children. Each State is entitled to receive an amount equal to the number of handicapped children aged 3-21 receiving special education and related services multiplied by a percentage of the national average per pupil expenditure. The percentage increases yearly, up to a maximum of 40 percent in 1982. In fiscal years 1977 and 1978, Congress appropriated the authorized amounts of 5 and 10 percent. In fiscal years 1979 and 1980, Congress appropriated 12 percent, compared with the authorized levels of 20 and 30 percent, respectively.

Fiscal Year of Use	Percent of Per Pupil Expenditures
1978	5
1979	10
1980	20
1981	30
1982 (and thereafter)	40

In determining the amount of funds to be allocated to each State:

- No more than 12 percent of the number of all children in the State, ages 5-17, may be counted as handicapped.
- Five percent of the total funds received or $200,000 (whichever is greater) may be used by States for administrative costs.
- In FY 78, a minimum of 50 percent of Part B funds will "flow-through" States to LEA's and intermediate educational units if they meet legislative requirements and priorities and are able to qualify for an allocation of at least $7,500. Starting in FY 79, the minimum flow-through is 75 percent.
- Part B funds that are retained by the State and are not used for administrative purposes must be matched on a program by program basis by the State from non-Federal sources.

Other requirements of P.L. 94-142 are that States provide an education to all handicapped children that:

- Is appropriate and individualized
- Is available to all children 3-21 by September 1, 1980

The intent of P.L. 94-142 is to assist the States to defray the excess costs of educating the handicapped. Excess costs are defined as those in excess of the amount normally spent on regular educational programs in the States.

Program Scope:

In general, the purpose of P.L. 94-142 is to provide grants to the States to assist them in the initiation, improvement, and expansion of educational and related services for handicapped children at the preschool, elementary, and secondary levels.

The following chart displays various descriptive information about the P.L. 94-142 program based, in part, on FY 1979 data.

FY 79 advance appropriation for FY 80	$804 million
Per Child Payment (average)	$248
Number of Children Served	3.69 million
Institutions Eligible	SEAs (25% funds reserved for use by SEA) LEAs (75% funds flowed to LEAs and Intermediate units)
Type of Grant	Formula Grant to State Education Agencies -- LEA Application to SEA
Handicapping Conditions	Mild to Moderate within each disability category
Educational Settings	Generally directed to LEAs
Intended use of funds	Must be expended according to service priorities for excess costs only. May be used to supplant State funds only after LEAs are in compliance with full service mandate.

As stated earlier, there are established priorities for utilizing these program funds. The expenditure of EHA-B funds is restricted by regulatory requirements which dictate service priorities. These priorities are providing services to the unserved and underserved (i.e., those with the most severe handicapping conditions within each disability area).

In general, grants are used for the following broad priorities:

1. Full implementation of State-wide child identification programs, including diagnostic and evaluative services, which began in school year 1976-77.
2. Continued initiation and expansion of programs to serve the unserved and underserved, most severely and multiple-handicapped. These programs (a) stress least restrictive placement of children in local schools and (b) includes short-term inservice training of local school staff.
3. Continued expansion of programs for preschool children.

Handicapped Children Served in School Year 1979-80

Handicapping Condition	Percentage of Population 7/	No. of Children
Mentally Retarded	1.57	768,840
Hard-of-Hearing	0.07	37,466
Deaf	0.03	19,114
Speech Impaired	2.41	1,180,162
Visually Handicapped	0.04	22,659
Emotionally Disturbed	0.60	295,811
Orthopedically Impaired	0.11	56,147
Other Health Impaired	0.20	102,407
Specific Learning Disabled	2.59	1,265,872
Deaf-Blind	0.00	1,575
Multihandicapped	0.10	52,458
TOTAL	7.78	3,802,511

Program Effectiveness and Progress:

An evaluation of this program was completed in 1972. With the passage of P.L. 94-142, the findings of this study are obsolete. Accordingly, to avoid confusion the summary of these findings has been omitted.

Ongoing and Planned Evaluation Studies:

Several process/formative studies are conducted by the Bureau of Education for the Handicapped. Details on these studies may be found in the Special Studies summary section.

7/ Figures have been truncated.

Sources of Evaluation Data:

Bureau of Education for the Handicapped program information.

Bureau of Education for the Handicapped Special Studies Program.

For further information about program operations,

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For further information about studies of program effectiveness,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Preschool Incentive Grants

Legislation:	Expiration Date:
Section 619 of Part B of EHA, as added by P.L. 94-142 "Incentive Grants"	Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	1/	$12,500,000
	1978	1/	15,000,000
	1979	1/	17,500,000
	1980	1/	25,000,000
	1981	1/	25,000,000

Program Goals and Objectives:

The purpose of this program is to stimulate State and local education agencies to expand educational services to handicapped preschool children, ages 3-5, thereby increasing their opportunities to benefit from early educational intervention.

Program Operations:

The Education for all Handicapped Children Act (P.L. 94-142) mandates that all handicapped children aged 3-21 shall receive a free and appropriate education unless, for ages 3-5 and 19-21, such provision is inconsistent with State law or practice. This provision of P.L. 94-142 has the effect of mandating educational service to the handicapped who are in the age group for whom education is compulsory in each State; however, many States do not yet mandate or customarily provide educational services to preschool children; therefore, a large portion of the handicapped preschool population, ages 3-5, would not have the opportunity to benefit from the service mandate contained in P.L. 94-142. As an incentive for States and local education agencies to develop and expand programs for this age group, Section 619 of Part B of EHA authorizes grants to States based on the actual number of handicapped preschool children being served.

1/ Permanent authorization. The authorization level for this program is determined by formula; each state receives $300 (ratably reduced) for every handicapped child, aged 3 through 5, who is receiving special education and related services.

SEA's must report to the Commissioner the number of handicapped children residing in the State who were receiving special education and related services on December 1 of that school year. The number of children ages three through five so reported is the basis for awarding Preschool incentive grants to SEA's. State educational agencies may distribute funds received under this program to local educational agencies on a discretionary basis.

Program Scope:

In order to be eligible for funding under this program a State must:

(1) make application to the Commissioner of Education

(2) have in effect a policy that assures all handicapped children a free appropriate public education

(3) have on file in the U.S. Office of Education an approved State plan to provide such services, and

(4) already be providing services to some preschool handicapped children ages 3-5.

Program Effectiveness and Progress:

In school year 1976-77 BEH data show that 196,223 handicapped children, ages 3 through 5, were counted as being served, generating Incentive Grant funds to initiate, improve, or expand services to this age group. In school year 1978-79, 213,850 children were counted; in school year 1979-80 the count increased to over 231,000 preschool children.

As a complement to the Incentive Grant program which aims at supporting basic educational and related services, the Early Childhood Education program authorized by Part C, Section 623, of the Education of the Handicapped Act supports demonstration projects which focus on improving the quality of educational programs for young handicapped children. The incentive grant program distributes funds on a formula basis, whereas the Early Childhood projects are funded through the discretionary grant process.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Bureau of Education for the Handicapped program information.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Regional Resource Centers

Legislation:	Expiration Date:
P.L. 91-230, Part C of EHA Section 621, Regional Resource Centers	

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966		
	1967		
	1968		
	1969	$ 7,750,000	$ 5,000,000
	1970	10,000,000	3,000,000
	1971 1/		3,500,000
	1972 1/		3,500,000
	1973 1/		7,243,000
	1974 1/		7,243,000
	1975	12,500,000	7,087,000
	1976	18,000,000	10,000,000 3/
	1977	19,000,000 2/	9,750,000
	1978	19,000,000	9,750,000
	1979	19,000,000	9,750,000
	1980	21,000,000	9,750,000
	1981	24,000,000	9,750,000

1/ Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973 were authorized for Part C, EHA, which includes early childhood projects, Regional Resource Centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

2/ Total authorized for section 621 is $19,000,000; other funds requested under section 621 were $3,250,000 for severely handicapped projects.

3/ In April 1975 litigation was settled which resulted in the release of $12,500,000 appropriated under the 1973 continuing resolution; of these funds, $3,131,652 were used for Regional Resource Centers, increasing obligations over the 1976 appropriation by that amount.

Program Goals and Objectives:

The Regional Resource Centers Program was established to encourage the development and application of exemplary appraisal and educational programming practices for handicapped children. The centers are given the responsibility of developing a national support system to assist State and local agencies develop the capacity to provide needed diagnostic and prescriptive services. To accomplish the goals and objectives of this program, the Centers use demonstration, dissemination, training, financial assistance, staff expertise, and consultation. The Centers also act as backup agents where State and local agencies have inadequate or nonexistent service programs. Among the major activities of the Centers are:

- Identification of unserved handicapped children.
- Measurement and diagnosis of handicapped children for the purpose of proper educational placement.
- Development of educational and vocational programs for handicapped children.
- Provision of technical assistance to relevant personnel (including teachers and parents) in implementing appropriate services for the handicapped learner.
- Periodic re-examination, re-prescription or case-tracking to validate the appropriateness of program placement for children.

In FY 80, 15 Direction Service Program Centers were also supported under this activity. These centers encouraged LEA's to adopt programs of comprehensive referral services through the operation of models which would:

- Provide a one-stop information system
- Attempt to develop multidisciplinary approaches to integrate services
- Require parent participation
- Stress follow-up, periodic reassessment, and program service evaluation
- Match child's needs to available services

Program Operations:

To meet program goals and objectives, grants and contracts are awarded to institutions of higher education, State educational agencies, or combinations of such agencies or institutions. Within particular regions of the United States, grants or contracts may be awarded to one or more local educational agencies. Projects are approved for periods of 36 months. However, awards are made annually, and renewed on the basis of a Center's effectiveness and the availability of funds. Initial awards are made on a competitive basis. Awards pay for all or part of the costs of the establishment and operation of the Regional Centers and Direction Service Centers.

Program Scope:

FY 79 program funds ($9,750,000) support 15 Regional Resource Centers and 15 Direction Service Centers. The current emphasis is on promoting child referral and evaluation and upon providing technical assistance to SEA's and LEA's to assist them to develop and implement the individualized educational program requirements (IEP) and the free appropriate public education requirements (FAPE) specified in P.L. 94-142. Approximately 9,000 personnel will have been trained in the best available procedures for carrying out the IEP/FAPE mandate. In addition, 30,000 handicapped children have been appraised, referred, and now receive other educational services as a result of this program's activities. The RRCs also assist the 57 State educational agencies develop their comprehensive State plan required by Section 613 of P.L. 94-142, with particular emphasis devoted to developing case findings and identification systems.

FY 1980 program funds will support 13 RRCs and 16 Direction Service Centers. The distribution of funds across activity areas is:

Activity	Distribution
Regional Resource Centers	
State program development	$ 4,000,000
Educational appraisal	1,250,000
Educational programming	1,250,000
Project Administration	750,000

Activity	Distribution
Direction Service Centers:	
Inter agency Development	1,000,000
Information Services to Clients	1,500,000

Program Effectiveness:

The primary limitations on meeting the stated objectives of this program are: (1) the unavailability of best practices in utilizing validated diagnostic procedures, (2) insufficient funds available to State and local educational agencies to develop and implement effective diagnostic, assessment, evaluation and reevaluation programs, and (3) trained diagnosticians and diagnostic teams available in sufficient numbers or with sufficient resources to fully implement the requirements of P.L. 93-380 and P.L. 94-142.

Ongoing and Planned Evaluation Studies:

Communication Technology Corporation was awarded a contract to conduct an assessment of the capacity building accomplishments of the Regional Resource Centers. The contractor's efforts will be directed to examining how effectively the RRCs are in assisting SEAs and LEAs implement the Individualized Education Program and the Free Appropriate Public Education requirement mandated by P.L. 94-142.

The study was completed in May 1980, cost $400,000 and was conducted in two phases. Phase I included: document review, instrument development and field testing. Phase II included the data gathering, data processing, analysis and report writing activities.

Source of Evaluation Data:

Bureau of the Education for the Handicapped program data.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Deaf Blind Centers

Legislation:

P.L. 91-230, Part C of EHA
Section 622, Centers and Services
for Deaf-Blind Children

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1968		
	1969	$ 3,000,000	$ 1,000,000
	1970	7,000,000	4,000,000
	1971 1/		4,500,000
	1972 1/		7,500,000
	1973 1/		10,000,000
	1974 1/		14,055,000
	1975	15,000,000	12,000,000
	1976	20,000,000	16,000,000
	1977	20,000,000	16,000,000
	1978	22,000,000	16,000,000
	1979	24,000,000	16,000,000
	1980	26,000,000	16,000,000
	1981	29,000,000	16,000,000

Program Goals and Objectives:

This program's purpose is to provide assistance to deaf-blind children by helping them reach their full potential for communication with, and adjustments to, the world around them so that they can attain self-fulfillment and participate in society. These program objectives are accomplished by working with deaf-blind children as early in life as feasible and by providing effective specialized, intensive professional and allied services, methods and aids. A limited number of model centers for deaf-blind children are funded under this program.

1/ Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973 were authorized for Part C. EHA, which includes early childhood projects, regional resource centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

Program Operation:

Contracts are made with public or nonprofit private agencies, organizations, or institutions to pay for all or part of the cost of establishing single state and multi-state centers and for the operation of service contracts with State, local, and private organizations. Contracts for this purpose are awarded based on the availability of existing services and the assurance that a center can provide:

- o Comprehensive diagnostic and evaluative services for deaf-blind children.

- o A program for the adjustment, orientation, and education of deaf-blind children which integrates all the professional and allied services necessary for these children.

- o Effective consultative services to parents, teachers, and others who play a role in the education of these children.

These services may be provided to deaf-blind children (and where applicable, to other persons) whether or not they reside in the center, may take place at locations other than the center, and may include transportation of children, attendants, and/or parents.

Program Scope:

It has been estimated that approximately 70 percent of the funding for deaf-blind programs come from State and local governments. In FY 80 there were 8 single state and 8 multi-state centers serving deaf-blind children. In order to reach the widely dispersed deaf-blind population, the centers subcontract with approximately 250 to 300 State, local and private organizations. The current program thrust is to render full-time educational services and to provide technical assistance to subcontractors, in order to upgrade the development, implementation, and coordination of new service delivery systems and to facilitate the development of program alternatives. This program will carry out the following activities during FY 80:

- o Full-time educational services including prevocational/vocational training programs

- o Part-time educational services

- o Medical diagnosis and educational evaluation

- Family counseling

- Inservice personnel training

- Alternative service programs: satellite homes, community residence programs, respite care

- Dissemination of information on methodologies, materials, curriculum, and proceedings of workshop and training services.

Program Effectiveness and Progress:

Program information suggests that the major drawback in reaching the program's goals is the acute shortage of trained teachers and teacher-aides. An estimated 500 to 600 additional teachers are needed to meet the needs of the known population of deaf-blind children. Current training programs are annually producing only 40 to 50 teachers with special qualifications for teaching deaf-blind children. Additionally, though facilities are available, many need to be modified or renovated to benefit these children. Lack of instructional materials and technology is another deterrent toward fullfillment of program goals.

Program monitoring information indicates that the Centers have been successful in terms of reaching increasing numbers of deaf-blind children. The 5,872 children served in FY 79 compares favorably with 4,516 in FY 76 and represents a substantial increase over FY 69 when 100 children were served by six programs in the United States.

In FY 80 approximately 6,000 deaf-blind children have been identified. During this year children continued enrollment in full and part-time educational programs. About 3,000 children received initial diagnosis and evaluation services. Parents continue receiving counseling and 3,000 teachers and aides were provided training related to problems of the deaf-blind population.

Despite this evidence of growth in FY 80, considerable variation exists in the amount and quality of services provided. The Bureau is currently establishing basic minimum standards of service for the entire program.

A study was completed in May 1977 by Abt Associates Incorporated, titled, "An Assessment of Selected Resources for Severely Handicapped Children and Youth." This assessment described characteristics of 100 service providers to the severely handicapped population; among these were providers to the deaf-blind. This evaluation demonstrated that providers serving deaf-blind clients:

- o Often had mandates to serve other disability groups.
- o Had high staff-client ratios for certified and non-certified teachers and attendants; however, this was not so for other types of staff.
- o Varied in the quality of services they provided; e.g., residential providers delivered high quality services, whereas day care providers generally rendered services of poor quality.
- o Commonly discharged deaf-blind clients because of (a) functional deterioration of the client or (b) a decrease in the severity of the condition; however, the discharge rate for this disability group was lower than found for other severely handicapped client populations.

In an effort to monitor more systematically and assess the activities and performance of the regional centers and their service providers, the BEH contracted with a team of experts on the deaf-blind to develop a set of guidelines to assess the program and use those guidelines in an on-site review of each deaf-blind region. During FY 78, seven regions were visited. The observations, data, and conclusions produced by the team of experts were compiled and analyzed by another third-party contractor. Their report to the BEH indicated that direct services to children provided at the regional and subcontractor levels were generally of high quality, while services to teachers and parents were of lesser quality. The major area of weakness was regional center administration, particularly fiscal control and management.

This information has been used by the BEH to provide technical assistance to current contractors. Since the Deaf-Blind program entered a new funding cycle in FY 78, efforts have been taken to ensure that previously identified deficiencies do not manifest themselves in new contract awards. FY 1980 continuation awards are now being reviewed to assure that previous deficiencies have been corrected and that proposals fully comply.

Ongoing and Planned Evaluation Studies:

The BEH and RSA are jointly planning a study to fund a needs assessment of services to Deaf-Blind individuals. The study is intended to: (1) determine the demographic characteristics of the deaf-blind population; (2) identify gaps in service delivery; (3) determine future needs; and (4) specify resources necessary to service needs identified for deaf-blind children and adults. The study should be initiated in FY 1981.

Sources of Evaluation Data:

1. Bureau of the Education of the Handicapped, program data.

2. "An Assessment of Selected Resources for SEverely Handicapped Children and Youth", Abt Associates Incorporated. Completed: May 1977.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Early Childhood Education

Legislation:

P.L. 91-230, Part C of EHA
Section 623, Early Education
for Handicapped Children

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1969	$ 1,000,000	$ 945,000
	1970	10,000,000	4,000,000
	1971 1/		7,000,000
	1972 2/	7,500,000	
	1973 3/		12,000,000
	1974 4/		12,000,000
	1975	25,500,000	14,000,000
	1976	36,000,000	22,000,000
	1977	38,000,000	22,000,000
	1978	25,000,000	22,000,000
	1979	25,000,000	22,000,000
	1980	25,000,000	20,000,000
	1981	20,000,000	20,000,000

Program Goals and Objectives:

This program was designed to build the capacity of State and local educational agencies to provide comprehensive services for handicapped pre-school children (birth through 8 years of age). The program supports demonstration and outreach projects in an attempt to accomplish this purpose. The Federal strategy is to (1) work cooperatively with States, through public and private non-profit agencies, (2) demonstrate a wide range of educational, therapeutic and coordinated social services in order to help establish competent State and local programs. Projects are expected to demonstrate the highest quality of available early education practices for handicapped children.

The following project strategies are used to facilitate the success of this program:

1/ thru 4/ Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973, were authorized for Part C, EHA, which includes early childhood projects, regional resource centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

- o Demonstration projects which are designed to develop service models based on current outstanding practices.
- o Outreach Projects which are designed to disseminate model programs for replication.
- o State implementation projects which are designed to assist States in planning and implementing part(s) of their respective early childhood state plans.
- o Early Childhood Institute which supports long-term research into the complex problems of young handicapped children.

In an effort to disseminate high quality information and to develop effective management practices contracts are awarded to provide additional technical assistance to projects. And in an effort to investigate specific areas of early childhood education for the handicapped with direct application to typical educational settings, contracts are awarded for experimental projects.

Program Operations:

This program authorized under Part C, Section 623, of the Education of the Handicapped Act provides grants and contracts annually on the basis of national competition. Each model demonstration project is approved for a three-year period, but receives second and third year funding on the basis of successful performance and availability of funds; each outreach project is approved for generally a three-year period, but receives second and third year funding on the basis of successful performance and availability of funds; and each state implementation grant is generally approved for a two-year period, but receives second year funding on the basis of successful performance and availability of funds.

The demonstration projects developed under this program include the following components:

- o Developing and demonstrating (1) services for young children with handicaps; and (2) assessment procedures for evaluating the progress of children.
- o Providing services to parents and family members including counseling and emotional support, information, opportunities for observation, practice and training, home carryover and involvement in project planning and evaluation.
- o Providing inservice training to increase volunteer, paraprofessional, and professional staff effectiveness.
- o Coordination with other agencies, especially the public school.

- o Disseminating information to professionals and to the general public concerning comprehensive programming for young children with handicaps.
- o Evaluating the effectiveness of project components to document the effectiveness of the project.

Program Scope:

According to program data, approximately 1,000,000 preschool children (ages birth through eight years) have handicapping conditions. Approximately 30% of these children are being served in varying degrees through demonstration and outreach projects, Head Start and day care programs, public education programs and through State-supported activities.

This capacity building program will complement the main service efforts required of States and LEA's under P.L. 94-142. This strategy is implemented through the following types of projects: Demonstration projects provide for the direct support of initiating services and model development at the local level; outreach projects, working with the models of validated projects, disseminate information and emphasize the replication of their models in new locations, including working at the local and state levels; state implementation projects provide support in the implementation of statewide plans to provide appropriate educational services to all preschool handicapped children in accordance with the provisions of P.L. 94-142; technical assistance projects aid in needs assessment, program management, self evaluation, and packaging of models to facilitate the efforts of the demonstration and state implementation projects; and the experimental projects develop and test new ideas for education of young handicapped children and test the effectiveness of these new approaches in typical educational settings.

During FY 80 this program supported 208 projects. Projects funded included: 127 new and continuation demonstration projects; 49 new and continuation outreach projects; 26 new and continuation state implementation projects; 2 technical assistance projects; and 4 early childhood institutes.

It is anticipated that the FY 80 appropriation (which will be spent in FY 81) will support 177 projects including 101 new and continuation demonstration projects, 47 new and continuation outreach projects, 23 new and continuation state implementation projects, 2 technical assistance projects, and 4 experimental projects. In addition, 5 BEH/OCD collaborative projects will be supported.

Program Effectiveness and Progress:

FY 78 program data indicated direct impact through the demonstration and outreach activities as follows:

- approximately 11,000 preschool handicapped children and their families received services through the demonstration projects and the demonstration-continuation sites at outreach projects.
- over 40,000 personnel were trained to work with handicapped preschoolers.
- approximately 50,000 were served in projects developed or stimulated by HCEEP assistance (over 13,000 children and their families were served by sites replicating HCEEP model components and receiving outreach assistance).
- over 600 sites in the 50 states replicated model components and received outreach assistance.

A formal evaluation of the program was conducted by the Battelle Columbus Laboratories from September 1973 to June 1976. Analysis indicated a positive program impact in the personal-social, adaptive, cognitive, and communications growth areas (the greatest impact on "Personal-Social development"). Of all the handicap groups, educable mentally retarded appeared to show the greatest overall gain as did children with longer treatment periods. For all handicap groups, there was no significant impact on motor development. Additionally, projects that had medium child-staff ratios (i.e., 4.8-6.8.1), that were home based (as contrasted with center-based), and that had developed and used their own curriculum materials appeared to have the greatest impact on handicapped children.

A follow-up study to determine where graduates of these projects were placed indicated that about two-thirds of the graduates were placed in regular school classes or regular school classes with ancillary special education services. Three quarters of the graduates studied went to public schools.

An informal survey of projects first funded in FY 1969 indicates that 80% of those programs continued in some manner with non-HCEEP monies. Of those 80%, approximately half had expanded the number of children served, the scope of their services, or both. This informal survey was conducted during the summer of 1978.

Ongoing and Planned Evaluation Studies:

Survey of HCEEP projects (to be completed in FY 1981).

Sources of Evaluation Data:

1. Bureau of Education for the Handicapped programmatic data.

2. "Evaluation of the Handicapped Children's Early Education Program," Battelle Memorial Institute. Completed June, 1976.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Severely Handicapped Projects

Legislation:

P.L. 91-230, Part C of EHA
Section 624

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1974	1/	$ 2,247,000
	1975	2/	2,826,000
	1976	2/	3,250,000
	1977	3/	5,000,000
	1978	3/	5,000,000
	1979	3/	5,000,000
	1980	3/	5,000,000
	1981	3/	5,000,000

Program Goals and Objectives:

The goal of this program is to establish and promote effective innovative practices in the education and training of severely handicapped children/youth. Demonstration projects funded under this program are designed to develop and refine identification, screening, diagnostic, and prescriptive procedures; and instruments; develop, demonstrate, and refine model curriculum, methodology, and educational materials; and package and disseminate model project findings and products such as curriculum guides and educational materials.

The ultimate educational and training goal for severely handicapped children is to provide appropriate self-development experiences to this population. These experiences are designed with the objective of helping the severely handicapped reach their maximum potential of developing into self sufficient individuals in normalized, community/home/neighborhood environments.

1/ Funds in 1974 derived from Part C, Section 621 (Regional Resource Centers), Section 623 (Early Childhood Projects), and Part F (Media Services and Captioned Films). Total authorization for Part C in 1974 was $66,500,000; for Part F, $20,000,000.

2/ Funds in 1975 and 1976 derived from Part C, Section 621 (Regional Resource Centers), and Section 623 (Early Childhood Projects).

3/ Funds are authorized under Part C, Section 621.

This program is a major vehicle for the implementation of P.L. 94-142. Therefore, the Federal strategy is to eventually cover all States or sparsely populated multi-State regions with demonstrations appropriate to statewide needs.

Expected strategies with the FY 80 appropriation will be to:

- o Fund projects for severely handicapped children/youth which target on (a) public school service facilitating social integration; (b) functional curricula across domestic living, recreational and commercial domains; (c) qualitative service improvement through innovative practices; and (d) deinstitutionalization into least restrictive environments.
- o Fund projects for autistic children which will emphasize the development of communication and social skills and demonstrate and replicate information and findings in these skill areas throughout the nation.
- o Fund projects to establish new special education delivery systems for the severely handicapped in rural and urban geographic areas.

Program Operations:

To accomplish the objectives of this program, contracts are awarded competitively on a 1-year basis, with continuation funding for a second and third year based upon the project's effectiveness, replicability, and availability of funds. Eligible contractees are State departments of education, intermediate or local education agencies, institutions of higher education, and other public or nonprofit private agencies.

Program Scope:

Program data (FY 78) indicate that approximately 388,200 severely handicapped children receive some services from Federal, State and private sources. Program staff estimate that there are 1,404,948 severely handicapped children (ages 0-19) in the Nation. Of these children, 465,000 are severely or profoundly mentally retarded; and 905,000 are seriously emotionally disturbed (e.g., autistic or schizophrenic) and 34,948 have multiple handicaps.

Comparative statistics prepared by OE indicate that the total number of severely handicapped children needing specialized services has remained fairly constant over the past 6 years. The least severely handicapped are gradually being integrated into less restrictive service environments, but past decreases have been offset by an increase in the number of severely handicapped children identified as needing specialized services.

In FY 80, 30 projects were funded; all of these were continuation awards - no new project awards were made due to funding complications regarding Labor Surplus Area Set-Aside requirements. Approximately 3,300 severely handicapped children participated in projects funded by this program. Two projects have been validated by the JDRP as exemplary demonstration models.

States have historically failed to make educational services available to all severely handicapped children. With the passage of P.L. 94-142 the number of unserved handicapped children has been significantly reduced. This law has required that if a State receives Federal financial aid under this act the State must provide free, appropriate public education (FAPE) to all handicapped children ages 3-18 by September 1978, and to all children between 3 and 21 by 1980, to the extent allowable by State law or practice. According to Federal law, all States are required to give the second highest priority to providing a FAPE to all severely handicapped children within each disability group.

In fiscal year 1981, (1980 appropriation) 37 projects are to be continued at a cost of $1,084,600, while 21 new awards are anticipated to be made at a cost of $4,835,391 5/. Four projects will have applied for Department of Education validation as exemplary demonstration models. Approximately 3,342 children will participate in programs during FY 81.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Bureau of the Education of the Handicapped program information.

For further information about program information,

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(202) 245-2381

For further information about studies of program effectiveness,

Contact: Eugene Tucker
(202) 245-8380

5/ Includes $919,991 carry over from FY 1979 (LSASA set-aside).

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Regional Education Programs

Legislation: / **Expiration Date:**

Legislation	Expiration Date
P.L. 91-230, Part C, Section 625, Regional Education Programs	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ 1,000,000	$ 575,000
	1976	1/	2,000,000
	1977	1/	2,000,000
	1978	10,000,000	2,400,000
	1979	12,000,000	2,400,000
	1980	14,000,000	2,400,000
	1981	16,000,000	4,000,000

Program Goals and Objectives:

The purpose of the program is to enhance the acquisition by handicapped students of skills for successful career competition in the professional, skilled and unskilled labor markets. Institutions of higher education, including junior and community colleges, vocational and technical institutions, and other appropriate non-profit educational agencies are eligible to receive awards for the development and operation of specifically designed or modified programs of vocational, technical, post-secondary, or adult education for deaf or other handicapped persons.

Program Operations:

Grants or contracts may be awarded to institutions of higher education, including junior and community colleges, vocational and technical institutions, and other appropriate nonprofit educational agencies. These grants and contracts are awarded for the development and operation of specially designed or modified programs of vocational, technical, postsecondary, or adult education for deaf or other handicapped persons. Priority consideration is given to:

- Programs serving multi-State regions or large population centers.

1/ Such sums as become necessary.

- Programs adapting existing programs of vocational, technical, post-secondary, or adult education to the special needs of handicapped persons.

- Programs designed to serve areas where a need for such services is clearly demonstrated.

Program Scope:

In FY 80, a total of ten programs were funded, eight of which were noncompeting continuations. In addition to the four regional programs serving over 700 deaf students, three programs provided special support services to 450 other handicapped students, and to an estimaed 20,000 other handicapped students indirectly through the technical assistance and conferences and workshops. New projects represented efforts at identification of best practices, cost-effective ways of providing support services, and a needed information exchange where such information could be obtained by institutions of higher education wishing to initiate and/or improve service in this area.

The types of services provided were: tutoring, counseling, adaptive recreational pursuits, notetaking, interpreting, wheelchair/personal attendance, and adaptation of instructional media to meet the unique needs of the handicapped. It is estimated that better than 95% of the handicapped students who complete their studies with the benefit of the services supported by this program are employed in positions commensurate with their abilities.

Ongoing and Planned Evaluation:

None

Source of Evaluation Data:

Bureau of Education for the Handicapped programmatic information.

For further information about program information,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

Program Name:

Special Education Personnel Development

Legislation:	Expiration Date:
P.L. 91-230, Part D Sections 631, 632,and 634 of EHA, Training Personnel for the Education of the Handicapped	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$ 19,500,000	$ 19,500,000
	1967	29,500,000	24,500,000
	1968	34,000,000	24,500,000
	1969	37,500,000	29,000,000
	1970	57,000,000	35,610,000
	1971 1/		32,600,000
	1972 2/		34,645,000
	1973 3/		39,660,000
	1974 4/		39,615,000
	1975	45,000,000	37,700,000
	1976	52,000,000	40,375,000
	1977	50,000,000	45,375,000
	1978	75,000,000	45,375,000
	1979	80,000,000	57,687,000
	1980	85,000,000	55,375,000
	1981	90,000,000	58,000,000

Program Goals and Objectives:

The objective of this program is to ensure an adequate supply of educational personnel competent to deal with the special educational problems of the handicapped. This program provides financial assistance to train special and regular classroom teachers, supervisors, administrators, researchers, teacher educators, speech correctionists, and other special service personnel such as specialists in physical education and recreation, music therapy, and paraprofessionals. Persons trained under this program come from a variety of professional backgrounds. Training is not limited to persons with a background in education.

1/ thru 4/ A total of $69,500,000 in 1971, $87,000,000 in 1972, and $103,500,000 in 1973 was authorized for Part D, EHA. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

Program Operations:

In order to accomplish the objectives of this program, the program awards grants to institutions of higher education, State education agencies, local education agencies, and other appropriate nonprofit agencies. Grantees are placed on a 3-year cycle system. A third of the States and territories apply for new cycles each year. A series of 12 priorities are used on a preservice and inservice basis. The system allows for funding allocations based on various priorities of differential needs such as stipends, faculty salaries, or curriculum development. All awards are made on a 12 month basis and the program is forward funded with the minimum award being $1,000 and the average award approximately $60,000.

Through this program financial assistance is given to individuals for preservice training; i.e., full-time students specializing in special education. Additionally, inservice training is a major priority for both regular education teachers and for special education personnel.

Program Scope:

During FY 80 the program provided pre-service training for 7,174 special educators and support personnel for both regular and special education at a cost of $28,517,000. It also provided inservice training for 21,131 special educators, 82,821 regular classroom teachers, 23,396 administrators and supervisors, and 65,876 other school and support personnel. With FY 80 program funds the following activities were carried out:

1) Preparation of Special Educators:

   - o Inservice and preservice training for education specialists serving handicapped children aged birth through 6 years. Many trainees work with handicapped children in regular educational programs upon graduation.

   - o Train special education personnel to serve the severely and multi-handicapped (including emotionally disturbed and autistic) and/or to meet national and regional needs for low incidence target groups. P.L. 94-142 requires provision of appropriate education for the most severely handicapped child, within each disability.

2) Preparation of Support Personnel for Regular and Special Education:

- o Train paraprofessionals to assist both special educators and regular classroom teachers.
- o Train specialists in physical education or therapeutic recreation to integrate appropriate techniques into a child's overall education program. These additional types of services are required so that many handicapped children can function in a regular classroom situation for at least a part of each day.
- o Prepare specialists from various related fields, such as the health and social sciences to integrate educational information, methodology and practices for the handicapped child into their support functions.
- o Provide training in handicapping conditions so that specialists will be effective in providing services to the handicapped.
- o Train personnel in vocational and career education to provide programs for the handicapped or to include them in their regular programs.
- o Support programs designed to recruit and train parents and other volunteers to work in education programs for the handicapped.

3) Special Education Training for Regular Education Teachers:

Provide special education training to personnel preparing for regular classroom teaching and administration; and provide inservice training for regular classroom personnel already in the field. P.L. 94-142 specifies that handicapped children be placed in th"least restrictive environment." Large numbers of regular room personnel are encountering handicapped children in their classrooms. The need for training continues to increase. Programs may include supportive services from special education personnel who work with handicapped children.

4) Instructional Models:

Two activities are funded which train personnel and which develop new models of instruction for the preparation of personnel who teach the handicapped. The activities are (1) the support and development of post doctoral training programs; (2) the identification and dissemination of cost-effective training models.

rogram Effectiveness and Progress:

Program estimates based on P.L. 94-142 Annual Program Plans repared by each State indicate that in order for the educational ystem to meet its full service commitment, an additional 64,000 pecially-trained teachers were needed for September 1978. This id not consider attrition, only known vacancies.

The P.L. 94-142 specification that handicapped persons be laced in the least restrictive educational environment has esulted in increasing number of regular classroom teachers encountering handicapped children. Current emphasis is being placed pon institutions of higher education (IHE) Deans Grants, changing lementary and secondary curricula to improve the capability of egular classroom teachers to work effectively with children with andicapping conditions. The training is expected to emphasize:

- knowledge of the handicapped including attitude and awareness training
- teaching methodologies used with handicapped children
- classroom management skills
- utilization of specialized and ancillary personnel to provide support services

In addition, regular education inservice projects (REGI) which epresent more than 200 projects, are developing models which can e replicated by either SEAs or LEAs, using P.L. 94-142 funds. rojects have been funded in all 50 States and two territories. These odels are being developed and training initiated by a variety of gencies and organizations - IHEs, SEAs, LEAs, IEUs, research groups nd professional organizations.

ngoing and Planned Evaluation Studies:

A study of the effectiveness of projects providing inservice raining to regular classroom teachers began in FY 1979.

ource of Evaluation Data:

Bureau of Education for the Handicapped program information.

For further information about program information,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Recruitment and Information

Legislation:	Expiration Date:
P.L. 91-230, Part D of EHA Section 633, Recruitment of Educational Personnel and Information Dissemination	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966		
	1967		
	1968		
	1969	$ 1,000,000	$ 250,000
	1970	1,000,000	475,000
	1971 1/		500,000
	1972 2/		500,000
	1973 3/		664,000
	1974 4/		500,000
	1975	500,000	500,000
	1976	500,000	500,000
	1977	1,000,000	1,000,000
	1978	2,000,000	1,000,000
	1979	2,000,000	1,000,000
	1980	2,500,000	1,000,000
	1981	2,500,000	1,000,000

Program Goals and Objectives:

This program is designed to encourage people to enter the field of special education, to disseminate information and provide referral services for parents of handicapped children, and to assist them in their attempts to locate appropriate diagnostic and educational programs for their children.

Program Operation:

This program operates by providing non matching grants or contracts to public or nonprofit private agencies, organizations, or institutions with the requirement that such funds be used for:

1/ thru 4/ A total of $69,500,000 in 1971, $87,000,000 in 1972, and $103,500,000 in 1973, was authorized for Part D, EHA. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

- Encouraging students and professional personnel to work in various fields of education of handicapped children and youth through developing and distributing innovative materials to assist in recruiting personnel for such careers, and by publicizing information about existing forms of financial aid which might enable students to pursue such careers.

- Disseminating information about the programs, services, and resources for the education of handicapped children, or providing referral services to parents, teachers, and other persons especially interested in the handicapped.

Program Scope and Effectiveness:

Implementation of the Education for All Handicapped Children Act (P.L. 94-142) has resulted in a significant number of inquiries about education for the handicapped. To promote a greater awareness of the availability of services for the handicapped, the $1 million appropriation (FY 1979) went to:

- Fund Parent Information Centers to assure that referral and information services are accessible to any and all handicapped children and their parents.

- Conduct workshops in geographically strategic areas of the country for the purpose of orienting as many people as possible about the functions/responsibilities for all parents who wish to attend and provide training for those parents who may be operating a local unit.

- Develop, produce and distribute information generated by parents to be used by all persons interested in providing services for the handicapped.

- Continue development of information packages for Indians, the disadvantaged, those of limited-English speaking ability, and the geographically isolated.

- Continue operation of the Information Clearinghouse which develops, produces and distributes informational packets on available services for the handicapped. Recipients of this information include the handicapped, parents of the handicapped, or any other persons who may be interested in finding out what is available for the handicapped.

- Continue to reach a concerned constituency through the Closer Look Report which circulates about 175,000 copies yearly.

Of the 7 projects underway in fiscal year 1980, 1 is a new awards and 6 are continuations. Those activities include a contract for an information clearinghouse, a contract to advertise the services of the clearinghouse (media outreach campaign), four Centers, and a policy information center.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Bureau of the Education for the Handicapped program information.

For further information about program information,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Eugene Tucker
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Innovation and Development

Legislation:

P.L. 91-230, Part E of EHA, as amended by P.L. 95-49 Section 641, 642, Research in the Education of the Handicapped

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1964	$ 2,000,000	$ 2,000,000
	1965	$ 2,000,000	$ 2,000,000
	1966	6,000,000	6,000,000
	1967	9,000,000	8,000,000
	1968	12,000,000	11,100,000
	1969	14,000,000	12,800,000
	1970	18,000,000	13,360,000
	1971	27,000,000	15,300,000
	1972	35,500,000	15,755,000
	1973	45,000,000	9,916,000
	1974		9,916,000
	1975	15,000,000	9,341,000
	1976	20,000,000	11,000,000
	1977	20,000,000	11,000,000
	1978 1/	20,000,000	20,000,000
	1979	22,000,000	20,000,000
	1980	24,000,000	20,000,000
	1981	26,000,000	20,000,000

Program Goals and Objectives:

Innovation and development activities attempt to improve the effectiveness and efficiency of the educational system and its provisions for handicapped children by supporting the development and validation of new service models, by packaging information in usable form, and by systematically disseminating this information.

1/ As of FY 1978 projects previously funded under the Specific Learning Disabilities program are funded under the Innovation and Development program, accounting for the substantial increase in appropriation.

Program Operations:

This program is concerned about improving educational opportunities for handicapped children through support of decision-oriented research and related activities. Support includes grants or contracts for research, surveys, or model demonstrations relating to education of handicapped children. Additionally, grants are made for similar activities relating to physical education or recreation for handicapped children. Activities are integrated in a planned pattern to support teacher training and the special service functions of the total Federal program for handicapped children.

Grants and/or contracts are made to State or local educational agencies, institutions of higher education, and other public or private educational or research agencies and organizations. Awards are made based on national competition. Projects are approved for periods ranging from 1 to 5 years. Generally awards are made for one year with continued funding based on quality performance and availability of funds.

Program Scope:

In FY 80, 108 research projects were supported; of these 58 were new efforts and 50 were continuations of projects begun in previous years. These projects supported research on programs for orthopedic and otherwise health impaired children, hearing impaired children, programs for the mentally retarded, programs for speech impaired, visually impaired, emotionally disturbed, learning disabled, and other programs classified as noncategorical. The largest expenditure was allocated to noncategorical programs. The interest in issues related to P.L. 94-142 and in attitudinal research was especially noteworthy in FY 1980.

In addition to the research projects this program supported 66 model demonstration projects. Twenty were new projects and 44 were non-competitive continuation awards. Sixty-five of these projects supported model demonstration centers, and one provided technical assistance in demonstration techniques. Increased interest in secondary level programs was a feature of the 1980 program.

During FY 80 the Innovation and Development program will have produced over 75 products relating to the education of handicapped children and an equal number of publications in professional journals, processed over 150 research reports, and provided model programs to some 2,100 handicapped children.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Bureau of the Education of the Handicapped program information.

For further information about program information,

Contact: Slagle Allbritton
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For further information about studies of program effectiveness,

Contact: Eugene Tucker
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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Media Services and Captioned Films

Legislation:

P.L. 91-230, Part F of EHA Instructional Media for the Handicapped, Sections 652 and 653; as amended by P.L. 93-380, and P.L. 94-142

Expiration Date:

Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966		
	1967	$ 3,000,000	$ 2,800,000
	1968	8,000,000	2,800,000
	1969	8,000,000	4,750,000
	1970	10,000,000	6,500,000
	1971	12,500,000	6,000,000
	1972	15,000,000	6,000,000
	1973	20,000,000	13,000,000
	1974	20,000,000	13,000,000
	1975	18,000,000	13,250,000
	1976	22,000,000	16,250,000 1/
	1977	22,000,000	19,000,000
	1978	24,000,000	19,000,000
	1979	25,000,000	19,000,000
	1980	27,000,000	19,000,000
	1981	29,000,000	19,000,000

Program Goals and Objectives:

This program supports grants or contracts for the purpose of providing special educational materials to handicapped learners. Educational materials are produced and distributed for use by the handicapped, their parents, actual or potential employers, and other interested persons in order to meet this objective. Program funds are used to caption and distribute films and other visual training media to assist deaf persons and to train persons in the techniques of using educational media for instructing the handicapped. Additionally, media development centers are funded to conduct research for advancing the art of developing appropriate educational media for the handicapped.

1/ In April 1975, litigation was settled which resulted in the release of $12,500,000 appropriated under the 1973 Continuing Resolution. Of these funds, $1,012,332 was used in the Media Services and Captioned Films program during fiscal year 1976, increasing obligations over 1976 by that amount.

Program Operations:

To accomplish program objectives, a loan service has been established for captioned films for the deaf and related educational media for the handicapped. Educational materials are made available in the United States for nonprofit purposes to handicapped persons, parents of handicapped persons, and other persons directly involved in activities for the advancement of the handicapped. Activities permissible for this purpose include: the acquisition of films and other educational media for purchase, lease or gift; acquisition by lease or purchase of equipment necessary for the administration of the above. Contracts are provided for the captioning of films and for the distribution of films and other educational media and equipment through State schools for the handicapped and other appropriate agencies which serve as local or regional centers for such distribution. Additionally, grants or contracts provide for research in the use and production of educational and training media. Provisions are made for the distribution of the materials, for utilizing the services and facilities of other governmental agencies and for accepting gifts, contributions, as well as voluntary and uncompensated services of individuals and organizations. Projects are approved for periods of up to 36 months; however, awards are made annually, with renewals funded on the basis of a project's effectiveness, the replicability of its elements and availability of funds.

Program Scope:

In FY 79 Educational Media and Materials Centers were funded for the severely handicapped and the hearing impaired. The legislatively mandated centers provided support for the design, adaptation, development and production of media and materials geared to the unique learning problems of these populations. Eleven awards were made to ensure that products developed for the handicapped were distributed to the consumers and 31 grants were awarded to provide for research, development, and production in the utilization of educational technology to further advance this field. In addition, Captioned Films distributed to deaf adults and to schools and classes for the deaf reached approximately 4,000,000 deaf persons of all ages. Captioned television news reached an estimated 6 million persons daily per broadcast from over 140 stations including American Samoa. To implement closed captioned television for the hearing impaired, the National Captioning Institute was created to develop the captions for broadcasting. During FY 79 the following types of activities were supported under this program:

- o Educational Media and Materials Centers
- o Captioned Films for the Deaf
- o Captioned Television and Telecommunications
- o Marketing and Implementation Activities
- o Recordings for the blind
- o National Theatre of the Deaf
- o Grants for the Development of Educational Technology

During FY 80 this program will provide approximately the same level of program activities as in FY 79. A total of 110 awards will be made to support:

1) Educational Media and Materials Centers: These centers which were first funded in FY 77 in response to congressional interest were continued. Emphasis was on the systematic delivery of educational technology to special populations through the design and/or adaptation, development, and production of appropriate education materials. The centers also provided training in the selection and use of these materials and promoted the utilization of materials available for circulation.

2) Marketing and Implementation Strategy: Through one marketing linkage project, 50 subsidiary awards were made to continue the development of a marketing and implementation program to assure that models of curricula and materials designed for the handicapped are widely distributed among handicapped consumers. This activity is expected to have helped promote testing and development of promising prototypes of educational devices for production models.

   The production of custom-made tape copies of textbooks for distribution to blind elementary and high school students was continued through other marketing contracts.

3) Captioning and Recording: A total of 55 awards were made to continue the adaptation, development, production and distribution of devices incorporating the most recent technological and telecommunicative advancements in television and recording. The program captions programs for the deaf and develops new television programming for the handicapped, and develops educational programming for parents of the handicapped. Support for the production of recordings for the blind and print-handicapped was continued.

4) National Theatre of the Deaf: Support continued for the National Theatre of the Deaf. This Theatre serves as a talent center for activities in theatre arts, providing vocational, educational, cultural and social enrichment for the deaf.

5) Grants Program for Media Research and Development: An estimated 35 awards will be made. Activities focus on research to identify and meet the full range of special needs of the handicapped relative to educational materials and technology. Included are demonstrations of new or improved methods, approaches, or techniques which are designed to assist handicapped individuals adjust to their disability. Additionally, the creation or adaptation of media and technology to aid the handicapped are supported by this program. The media or technology are designed for use by handicapped persons, their parents, actual or potential employers, and others who are involved with the handicapped.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Bureau of the Education of the Handicapped program data.

For further information about program infomration,

Contact: Slagle Allbritton
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For further information about studies of program effectiveness,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Studies

Legislation:	Expiration Date:
Sections 617 and 618 of Part B of EHA, as added by P.L. 94-142	Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	1/	$ 1,735,000
	1978	1/	2,300,000
	1979	1/	2,300,000
	1980	1/	1,000,000
	1981	1/	2,300,000

Program Goals and Objectives:

The purpose of this program is to evaluate the effectiveness of the states in providing a free appropriate public education to all handicapped children as mandated by Public Law 94-142, the Education for All Handicapped Children Act of 1975. The evaluation activities identify both the problems and the successes state and local education agencies are having in implementing the law. The information from these activities is used in reporting to Congress on the progress being made in meeting the full educational opportunity goal specified in P.L. 94-142 and in designing technical assistance activities to promote implementation by state and local education agencies. The evaluation activities and the annual report to Congress are mandated by Section 618 of the law; the technical assistance activities are mandated by Section 617.

Program Operations:

The Secretary conducts, directly or by grant or contract, studies to accomplish the goals of Part B of the Education for All Handicapped Children Act.

1/ Such sums as become necessary.

Program Scope:

Evaluation studies funded focus around the following questions:

o Are we serving the intended beneficiaries?

o Where are the beneficiaries being served?

o What services are being provided to children?

o Do services provided meet the intent of the law?

o What administrative mechanisms are in place?

o What are the consequences of implementing the law?

Studies and technical assistance activities underway in FY 1980 are designed to:

1. Describe and evaluate the special education and related services available and provided to handicapped children across the nation.

2. Describe the effects student characteristics and school district practices and policies have on the transfer of students from special to regular education programs.

3. Describe the procedures used by states and by school districts for making decisions about the settings in which handicapped children will be educated and identify the standards used by judges and hearing officers in setting least restrictive environment disputes.

4. Describe administrative strategies which facilitate the successful inclusion of handicapped children in the least restrictive environment and provide technical assistance to state and local education agencies in implementing these strategies.

5. Examine the placement options available to handicapped secondary school students and compare the academic courses, nonacademic courses, vocational education opportunities, and after-school activities of handicapped and nonhandicapped secondary students. In addition, assist administrators in expanding program options and program flexibility for secondary students.

6. Describe the content and the quality of individualized education programs across the nation.

7. Examine the procedures used in urban school districts for evaluating students who have been referred for special education assessment. Identify strategies for increasing the efficiency of the assessment process and provide technical assistance to local education agencies in implementing these strategies.

8. Describe strategies for improving the procedures schools use in obtaining informed parental consent for special education assessment and placement decisions.

9. Provide technical assistance to state and local education agencies for improving child count and child find procedures, reducing individualized education program paperwork, and implementing interagency agreements.

10. Examine the procedures used by large, medium, and small school districts in financing special education in order to better understand the flow and use of P.L. 94-142 funds.

11. Evaluate the impact of P.L. 94-142 on the child and the family through the use of in-depth case studies.

12. Describe and evaluate the progress being made in implementing the provisions of P.L. 94-142.

Ongoing and Planned Evaluation:

An evaluation of this program is not planned.

Sources of Evaluation Data:

Office of Special Education program data.

For further information about program information,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Eugene Tucker
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D.

Occupational, Adult, and Career Education

Program Name:

Vocational Education—Special Programs for the Disadvantaged

Legislation: **Expiration Date:**

Vocational Education Act of 1963 as amended by Public Law 94-482 Part A, subpart 4

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1969	$ 40,000,000	-0-
	1970	40,000,000	$ 20,000,000
	1971	50,000,000	20,000,000
	1972	60,000,000	20,000,000
	1973	60,000,000	20,000,000
	1974	60,000,000	20,000,000
	1975	60,000,000	20,000,000
	1976	60,000,000	20,000,000
	1977	35,000,000	20,000,000
	1978	45,000,000	20,000,000
	1979	45,000,000	20,000,000
	1980	50,000,000	20,000,000
	1981	50,000,000	20,000,000

Program Goals and Objectives:

Under Part A, subpart 4, funds are provided to assist States in conducting special programs for disadvantaged persons with academic or economic handicaps who require special services and assistance in order to succeed in regular vocational education programs. Funds shall be allocated within the State to areas of high concentration of youth unemployment and school dropouts. Services and programs may also be provided to eligible students in nonprofit private schools.

Program Operation:

Grants are allocated to the States by formula with no matching required. Special services and programs are provided so that the disadvantaged youth and adults can be mainstreamed into regular vocational programs, or where necessary, separate programs are provided. The target population includes: persons of minority ethnic backgrounds, inmates in correctional institutions, dropouts, persons in rurally isolated areas, persons in inner cities, migrants, persons with limited-English-speaking ability, the undereducated, and juvenile delinquents. Special services and programs are provided these youth and adults to encourage them to stay in school to acquuire the academic and occupational skills needed for successful employment or to continue to pursue their career preparation.

Special services include specially trained teachers in remedial and bilingual specialties, staff aides, additional counseling services, facilities accessible to a high concentration of these students, and instructional materials and equipment best suited to their needs and abilities.

Some of the areas where these funds have been expended are those where English is a second language, rural depressed communities, low-cost housing developments in the inner city, correctional institutions, and off-reservation locations with a predominance of American Indians.

Program Scope:

States reported 150,528 disadvantaged students received services or participated in programs designed to meet their needs in FY 1979 under the special funding.

Program Effectiveness and Progress:

State reports do not describe the kinds of services available, the effectiveness of such services in improving student retention and completion in occupational training programs or other impact data.

Findings from the assessment of the disadvantaged set aside under State grant funds and the special needs categorical program are reported under the State grant evaluation. States generally used Special Needs funds for specific projects. Some tates used this money for populations the States do not ordinarily serve, such as correctional inmates and school dropouts.

Ongoing and Planned Evaluation Studies:

NIE will continue to examine vocational services for the disadvantaged under their mandated study.

Sources of Evaluation Data:

Annual State Vocational Education Reports

State Advisory Committee Reports

Assessment of Vocational Education Students for Disadvantaged Students, Olympus Research Corporation, December 1976.

For further information about program operation,

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For further information about program effectiveness,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education — Indian Tribes and Indian Organizations

Legislation:	Expiration Date:
Vocational Education Act of 1963 as amended by P.L. 94-482, Title I, Part A, Section 103 (a) (B) (iii)	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION 1/
	1978	$ 8,360,000	$ 5,437,682
	1979	9,789,000	5,437,777
	1980	11,800,000	5,922,888
	1981	11,800,000	6,100,000

Program Goals and Objectives:

Under this program, the Commissioner is authorized to award contracts to Indian tribal organizations and Indian tribes eligible to contract with the Secretary of the Interior for the administration of programs under the Indian Self-Determination and Education Assistance Act of 1975 or under the Act of April 16, 1934.

The tribal organization will plan, conduct and administer the vocational education programs. Awards will not exceed three fiscal years. Requests for continuation beyond the project period are considered competitively with all other applications.

Program Operation and Scope:

Thirty-three contracts were awarded in 13 States to tribal organizations during fiscal year 1980. Of these, 19 projects begin their third year of funding. Eleven are in their second year and three new projects are beginning. Ongoing projects are reviewed each year and continuation is based on evidence of satisfactory performance.

1/ P.L. 94-482 authorizes a one percent set-aside of funds from Subparts 2 and 3 (basic grant and program improvement) to support Indian projects.

The projects funded under this authority generally support new vocational programs on Indian reservations where training opportunities have been very limited or install new occupational programs and/or support services in existing facilities. Most projects are designed to bring training to Indians who cannot commute great distances and who cannot afford to leave home to attend schools.

Training is offered in a wide range of occupations varying from building construction trades, paraprofessional rehabilitation services, business and clerical skills, small business and public management, agricultural occupations, automotive repair and maintenance, upgrading skills of police employees, aquaculture and fisheries management, graphic arts and bilingual training in machine shop occupations.

The 33 programs funded under this authority generally support new vocational programs on Indian reservations where training opportunities have been very limited or install new occupational programs and/or supportive services in existing facilities. Most projects are designed to bring training to Indians who cannot commute great distances and who cannot afford to leave home to attend schools.

Ongoing and Planned Studies:

A short-term evaluation study is currently underway to meet the mandate under the Vocational Technical Amendments (P.L. 95-40), Section 103. The study will examine the extent to which these discretionary programs meet their stated objectives and describe how the vocational programs fit into and forward the economic development plans of the tribes. The study will also identify factors which inhibit or limit the operation of the programs as planned and will identify the key variables which appear necessary to provide programs of high quality. The study will use readily available information as to how the participants fared in terms of completing their training and finding employment.

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For further information about program effectiveness,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education—Basic Grants to States

Legislation	Expiration Date
Vocational Education Act of 1963, as amended by P.L. 94-482, Part A, subparts 2 and 3	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION 1/
	1965	$156,641,000	$156,446,000
	1966	209,741,000	209,741,000
	1967	252,491,000	248,216,000
	1968	252,491,000	249,300,000
	1969	314,500,000	248,316,000
	1970	503,500,000	300,336,000
	1971	602,500,000	315,302,000
	1972	602,500,000	376,682,000
	1973	504,000,000	376,682,000
	1974	504,000,000	405,347,000
	1975	504,000,000	420,978,000
	1976	504,000,000	415,529,100
	1977	450,000,000	441,382,275
	1978	880,000,000	537,833,000 2/
	1979	1,030,000,000	587,083,000
	1980	1,180,000,000	687,083,000
	1981	1,325,000,000	687,083,000

Program Goals and Objectives

This legislation assists States to improve planning in the use of all resources available to them for vocational education programs. It authorizes Federal grants to States for the following purposes: (1) to extend, improve, and, where necessary, maintain existing programs of vocational education; (2) to develop new programs of vocational education; (3) to develop and administer vocational programs so as to eliminate sex discrimination and sex stereotyping and furnish equal education opportunity in vocational education to persons of

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1/ This does not include the permanent authorization of $7.1 million apportioned to the States each year under the Smith-Hughes Act.

2/ Includes basic grants and budget for program improvement and supportive services, under P.L. 94-482.

both sexes and (4) to provide part-time employment for youths who need the earnings to continue their vocational training on a full-time basis.

Grants to the States may be used in accordance with five-year State plans and annual plans for a variety of purposes cited under Subpart Two. Work study and cooperative education programs, former categorial programs, were consolidated with the basic grant program.

Under Subpart Three, program improvement grants assist States in upgrading and expanding their vocational programs and providing supportive services. Funding categories include: research programs, exemplary and innovative programs; curriculum development, guidance and counseling services, pre-and in-service training; grants to overcome sex bias and costs of supervision and administration of vocational education programs.

Vocational funds are appropriated on an advance basis to enable States and local school officials to plan efficiently.

Program Operation

Formula grants assist States in conducting vocational
education programs for persons of all ages to assure access to
vocational training programs of high quality. Within these formula
rants national priorities require States to utilize 15 percent of
the allotments for postsecondary and adult programs. They are also
required to expend 10 percent for vocational education programs for
andicapped students and 20 percent for disadvantaged students,
ncluding persons of limited English-speaking ability. These
riorities for the handicapped and disadvantaged populations specify
hat the States are to use the funds to the maximum extent possible
o assist these students in participating in regular vocational
ducation programs. States are required to match the overall basic
rant, and then show specific matching for the expenditures for the
ational priority programs serving the handicapped, disadvantaged,
ostsecondary/adult and the funds used for State administration.

Also included in these formula grants are specific amounts for
rogram improvement and supportive services. The research, curriculum
evelopment and exemplary programs, administered under the State
esearch coordination units (RCUs), are conducted under contract,
hile the remaining activities authorized under Subpart 3 may be
unded directly by grants or contracts by the State educational
gency.

Program Scope

Slightly more than 6 billion dollars from Federal, State and local sources were expended for vocational education in FY 1979. Of this total, $550 million was Federal money. Thus, State and local money represented 91% of the total expenditures for that year.

States reported 17,269,042 enrollments in vocational education classes in FY 1979. Of these, 10,460,806 were at the secondary level; 2,027,510, postsecondary, and 4,779,726, adult.

Enrollments of the disadvantaged and handicapped who received special services supported by Federal Vocational Act funds under the National priorities were as follows:

Disadvantaged	1,036,683
Handicapped	229,853

Program data at the Federal level are generally limited to enrollment and expenditure data from annual reports submitted by State education agencies that cover only those vocational education programs included in the State Plan. There is no established procedure for the development of response material for specific data requirements which are not included in the vocational education data system as mandated by P.L. 94-482.

States have consistently reported overmatching Federal funds by margins of nine and ten to one in recent years. Problems were identified with the matching of funds for disadvantaged and handicapped priorities. New amendments to the Federal Vocational Education Act under P.L. 96-46 provides that the Federal portion can be increased if it can be shown that the State and local agency cannot provide the matching money. This would only occur if the Secretary approved a specific request from a State.

Program Effectiveness and Progress:

Studies examining the administrative processes of the vocational delivery system have reported weaknesses which the 1976 Amendments attempt to reduce or eliminate. The new legislation attempts to (1) improve access of special needs groups and to eliminate sex inequities; (2) improve program quality by requiring a more extensive planning process; (3) improve program flexibility and link experimental and research efforts with program improvement; and (4) improve program accountability by requiring new monitoring, evaluation and reporting systems. Data are not yet available to assess the impact of the new legislation.

Studies of the effect of participation in vocational education programs have thus far presented inconsistent results. Some studies show increases in earnings and the ability to obtain a job, others do not; some show increased educational achievement, while others show no difference; most studies show vocational students to have a positive opinion regarding the programs they experience. The evidence so far developed is as follows:

Vocational Education Sex Equity Study

Mandated in section 523(a) of the Education Amendments of 1976, this study focuses on the existence of sex discrimination and sex stereotyping in vocational education and actions which States, school districts and schools were taking in the Spring of 1978 to further sex equity. It also examined factors external to vocational programs which contribute to stereotyping and constrain progress to eliminate it, and identified programs which appear to foster sex equity.

Forty-nine States and the District of Columbia were visited during the Spring of 1978. In addition, a school sample of 100 schools was selected on the stratified random basis, using the stratification variables of region of the country, city, size, and type of school. From each school, a sample of 4 counselors, 8 teachers and 35 students were interviewed, including sufficient numbers of nontraditional and ethnic minority students to determine whether their responses differ from those of other students. By weighting the responses of all those interviewed, it is possible to get estimates for the national population.

Four major products were produced: (1) The Review of the Literature and Secondary Data; (2) Case Studies of Programs Fostering Sex Equity; (3) The Replication Handbook, which provides procedures, measures and instruments which can be used to measure progress in reducing sex inequities; and (4) The Final Report and Executive Summary based on findings from the primary data collection phase.

While overt discrimination, such as rules denying admission on the basis of sex, has been reduced, students are still enrolling in vocational programs which are predominantly populated by a single sex, the report indicates. Over 60% of State and local staff reported that practices which discourage students to enroll in nontraditional courses are most in need of change. These include unwritten understandings that a course is for one sex, and suggestions by counselors that traditional options be selected. About 27% agreed that factors encountered after enrollment are most in need of changes. These practices include teacher reluctance to have nontraditional students in their classroom and the consideration of a student's sex in job placement.

The study found that State and school administrators focused primarily on traditional roles of review and monitoring legislative requirements. They were not taking corrective action to overcome inequities discovered through review and monitoring. There was little action at the school level to foster equity--particularly student-oriented activity. Few States or schools were engaged in community or employer activities. Yet these activities--particularly with employers--seem to be a critical ingredient in the success of efforts to promote sex equity.

Although societal factors outside the school exert powerful influences on the aspirations of youth, study findings indicate that the school can have an impact in that there is a strong positive correlation between the level of equity activity in a school and the proportion of nontraditional enrollment in that school.

There is also evidence that efforts to achieve equity in staffing patterns have a positive effect. Those schools with higher "internal affirmative action" activity indexes also tended to be those with higher proportions of nontraditional teachers. Since there is little staff turnover, it is important to install activities which directly reach school staff, students and employers. the report recommends.

National Study of Vocational Education Systems and Facilities

This study performed during 1977-78 was designed to describe the status and condition of the nation's vocational education system in terms of its capacity, its services, its accessibility to students, and its adequacy, condition, and level of utilization of its facility resources. The study also describes the organization and governance of State and local agency and delivery systems. Interviews were conducted at the State agencies and a mail survey was sent to all public secondary and free-standing two-year postsecondary institutions having facilities for five or more different vocational education programs.

Findings indicate that the location of facilities does not reflect the nation's population distribution. Institution/populations ratios are significantly higher for medium cities 100-500,000 or less and small towns and rural communities. Central cities include 22.8% of the population but have only 13.3% of the training stations in secondary schools and 10.6% in postsecondary institutions. Other large suburban and metropolitan areas having 38% of the population have 10.5% of the secondary instructional stations and 13.5% for postsecondary.

Ten types of State Boards are identified along with five types of State vocational education agencies and five types of authority exerted by the State agencies over local institutions. Six types of vocational education institutions were defined. These differences are likely to have significant impact on the manner in which Federal policies are implemented in the different States and territories.

With the exception of comprehensive high schools, virtually all other types of institutions report use of combinations of testing, interviews, demonstrations and age-level as criteria for the admission of students for training.

Most postsecondary institutions--such as vocational schools, technical institutes and community colleges--report their facilities are accessible for handicapped students. About 22-24% of the comprehensive high schools report their facilities as inaccessible and about 30-47% of the single district and regional vocational high schools report lack of access.

Study of Vocational Programs for Disadvantaged Students

This study indicated in 1976-76 assessed programs for the disadvantaged funded under the 1968 VEH Part B set aside grant program and the Part A, Section 102 (b) which provided 100 percent funding of some vocational education programs for the disadvantaged. The study involved 23 States, 77 communities, including 55 local education agencies and 22 community college districts. Eighty-four projects were visited, including 62 secondary and 22 postsecondary.

Findings indicate that State and local administrators have difficulty in interpreting the congressional definition of "disadvantaged" because: (1) they see an apparent conflict between the identification of students on an individual basis and the designation of target areas or groups; (2) they cite the existence of allegedly conflicting definitions of "disadvantaged" contained in laws other than the Vocational Amendments of 1968; and (3) local administrators indicate they are unwilling to "label" students as disadvantaged. The most common criteria used to identify disadvantaged students were academic, that is, students who are one or more grade levels behind their peers.

The States generally had only one person supervising these programs, and little time was available for planning, monitoring or evaluating programs. In States where education agencies were subdivided into regions, program monitoring and evaluation appeared to be more complete, and program officers were familiar with the programs. Sixteen of the 23 States (70 percent) required local education jurisdictions or schools to submit proposals to the State, according to established guidelines, and funded projects on the basis of the quality of the proposals and the ability of the sponsors to carry out the projects.

The major constraints in developing programs mentioned by respondents at all levels were: lack of funds, lack of facilities, unwillingness of some instructional personnel to accept disadvantaged students into their classes, the negative image of vocational education, and ambiguity of the term "disadvantaged student."

About 46 percent of the enrollment in high school projects was minority; characteristics information by race and ethnic background was not available for 51 percent of the postsecondary enrollment. Of the known postsecondary-level enrollment, 22 percent were minority and 27 percent white. Women comprised a slightly higher percentage of the total high school enrollment than men; the opposite was true at the postsecondary level. However, characteristics by sex were unavailable for 34 percent of the postsecondary enrollment.

Almost half of the high school students were enrolled in work experience programs. However, the vast majority of students enrolled in work experience programs (86 percent) were not receiving skills training in school.

According to the 442 work experience students interviewed, the tasks they were performing on-the-job were in low-skill, low-pay, and high-turnover occupations. For example, 78 percent of the tasks listed in the food service category were waitresses, food handlers, busboys and dishwashers; 44 percent of the tasks listed under car maintenance were service station attendant, wash cars, and park cars; 80 percent of the jobs listed under child and hospital care were to take care of patients (give baths and so on) and child care or babysitting.

There are positive outcomes for the programs. Program costs at $395 per enrollee (Federal costs) and $401 per enrollee (combined Federal, State and local) were low. The average completion rate (83 percent) was high. The student participant ratings of the programs were overwhelmingly favorable, and the employer ratings of the programs and their student employees were also favorable. Administrators generally attribute the favorable rating of students to the fact that enrollees do receive attention they have not received elsewhere.

Outcomes for the High School Class of 1972

This study is concerned with the members of the High School Class of 1972, especially for the period between graduation from high school in the early Summer of 1972 and the time of the first follow-up survey, which was conducted approximately 18 months later.

Findings indicate that in contrast to earlier cohorts, relatively large numbers of whites from the Class of 1972 did not go to college. The increasing enrollment trends of blacks continued, bringing the proportion of blacks enrolled in college up to par with that for whites. Owing to increases in population size, the declining enrollment rate did not result in appreciable declines in the actual numbers of students enrolled in colleges, and for those who did not go to college, nearly one-third could be found in special schools, generally vocational or technical in nature.

The labor force participation rates of females was increasing, with greatest involvement on the part of single women, who reached a participation rate of 56% in 1973. At the same time, the participation rates of young people who were enrolled in school were also attaining a rate of 45% in 1973. Of those who were not enrolled in school, ninety percent were in the labor force.

In 1971-72 education expenditures represented slightly more than 8% of the Gross National Product. Educational revenues were continuing to shift away from local sources (51% in 1972-73), and continuing to shift toward greater State-level disbursements (40% in 1972-73), with a small rise in Federal disbursements (under 10% in 1972-73). A noteworthy share of these monies were allocated to vocational education, a share which increased 63% between 1967-68 and 1972-73. Two concomitants to this high national level of educational investment can be observed; first, that the school retention rates were trending upward (748 persons graduated from high school in 1972 for every 1,000 who entered 5th grade); second, the success rates of school bond elections were declining (56.5% in 1972-73).

The study may be considered an effort to determine what has happened to the Class of 1972 since graduation, especially as regards their educational and economic activities. The exploration goes somewhat beyond that objective, to explore the relationship between the characteristics of class members during high school, the families from which they came, the high school education they received, and the later educational and economic characteristics developed by the Class members. The development is presented in three parts: first, a description of post-high school activities and characteristics; second a a series of analyses relating earlier characteristics to later educational and vocational characteristics; and third, a series of analyses relating earlier plans and aspirations to post-high school outcomes.

An Assessment of Vocational Education Programs for Handicapped Students

This study in 1974-75 reviewed the operation and administration of the 1968 VEA Part B set aside for handicapped students in 25 States, selected randomly with a probability proportionate to total enrollments in the 50 States. Ninety-two projects were visited for the project level assessment. A thousand student and parent interviews were conducted in five of the sample States, 681 with students currently enrolled and 320 with students who had completed projects. A sample of participating and nonparticipating employers were interviewed.

Findings indicate that Part B set asides have resulted in projects which would have never occurred had there been no such legislation. About 93 percent of the funds were used to provide direct services to students. Cost and outcome data were seriously deficient at both the State and local levels. However, according to what data were available, including results of the student, parent and employer interviews, the program appeared to be working well. Costs per student and completer were not excessive and placement rates ranged from 48 to 60 percent for completers. About 33 percent reenrolled in school, and only about 15 percent of the completers were unemployed.

At the school level, vocational and special education staff worked closely together to provide training and services to students. Those vocational staff who worked with handicapped students generally had no special background for working with handicapped students and desired such training. Few examples of individualized instruction were found, except to the extent that "hands on" vocational training was practiced. Although most local administrators indicated that it was the school district policy to integrate the handicapped with regular students, about 70 percent of the students enrolled were in "special" classes. School administrators were often not sure how to mainstream students and retain separate files for auditors and reporting systems. States in Region V appeared to be further along in integrating classes.

Two-thirds of the training provided under the set aside programs was nonskills training, that is, training not intended to prepare students to compete in the open labor market in any given skill, craft or trade. Half of the students enrolled in this type of training were in prevocational training. Others were enrolled in diagnostic centers, mobility training, nongainful home economics, industrial arts, tutoring and sheltered workshop programs. About 12 percent were trainables. Of those enrolled in skills training, the vast majority were in trade and industrial courses, mainly for men. The range of occupational offerings for women was extremely narrow, and was confined mainly to home economics (much of which was not gainful), and health occupations.

In half of the projects included in the project sample, at least some students were referred into work experience programs. Most of the work stations were unskilled work activities and were intended mainly to provide students with "work experience."

Only a few projects conducted a thorough assessment of the educational needs of the handicapped students referred to the program.

The case study interviews indicated that both students and parents expressed extremely favorable attitudes toward the projects in which they or their children were enrolled.

Participating employers expressed favorable attitudes toward the program. Three out of four participating employers rated the performance of handicapped students and/or completers "as good" or "better than" regular workers in each of the eight performance scales. Unlike participating employers, nonparticipating employers expressed the belief that it would be necessary to effect radical changes in their working environments if they were to hire the handicapped.

What is the Role of Federal Assistance for Vocational Education? Report to Congress by the Comptroller General of the United States:

Although expanded vocational opportunities have been made available for the disadvantaged and handicapped, persons with special needs have not been given high priority, the 1974 GAO report says. The report further maintains that vocational education programs are not responsive to changes in the labor market, have shown bias against women, and do not provide adequate occupational guidance and job placement assistance. The report is based on a review of programs in seven States.

The report maintains that these States have distributed funds in a variety of ways, many of which do not necessarily result in funds being targeted to geographical areas of need, or providing for the programmatic initiatives called for by law. Some major practices noted were: making funds available to all local education agencies within a State, rather than concentrating funds in selected areas with high needs; making funds available to local agencies without adequately identifying the relative need for the program; and making funds available without considering ability of local agencies to provide their own resources.

Greater attention to systematic, coordinated planning at the national, State and local levels would improve the use of Federal funds, the report suggests. State and local plans reflect compliance rather than planning. Data that would be helpful to planning is unavailable, inadequate or unutilized, the report continues.

Practical Career Guidance, Counseling, and Placement for the Non-College-Bound Student:

This study reviewed data concerned with practical career guidance and counseling for non-college-bound students. The report's findings indicate that women, minority, and disadvantaged students have not obtained sufficient occupational information and assistance in relating their abilities and interests to career options. Furthermore, the overall conclusion drawn was that the guidance and counseling personnel resources generally have not been aligned to provide practical career guidance for non-college-bound students, despite national priorities and allocations of funds. Recognizing the need for realignment of the counseling services for the non-college-bound, the report recommends that (1) guidance and counseling experts provide more specific information and (2) realignment be based on a planning model that includes assessment of the priority of target groups, selection of appropriate strategies, and evaluation of efforts.

Ongoing and Planned Studies:

NIE Studies

The NIE has designed a series of studies to meet the Congressional mandate under Section 523 (b) of the Vocational Education Act as mandated by Public Law 94-482. The studies will focus on the distribution of vocational education funds in terms of services, occupations, target populations, enrollments and policy issues. The studies will also examine compliance issues and an analysis of the means of assessing program quality and effectiveness. Products will include a "fact book" on vocational education nationally and a systematic account of the changes in the vocational education enterprise that can be attributed to the Educational Amendments of 1976. Reports are due to Congress in September 1981.

Sources of Evaluation Data:

Vocational Equity Study. Volume I, American Institutes for Research, 1979.

National Study of Vocational Education Systems and Facilities. Westat, Inc., 1979.

Vocational Education and Training. Carnegie Council on Policy Studies in Higher Education, 1979.

The Planning Papers for the Vocational Education Study. National Institute of Education, 1979.

An Assessment of Vocational Education Programs for the Disadvantaged under Part B and Part A Section 102 (b) of the 1968 Amendments of the Vocational Education Act. Olympus Research Corporation, December 1976.

An Assessment of Vocational Education Programs for the Handicaped Under Part B of the 1968 Amendments to the Vocational Education Act. Olympus Research Corporation, October 1974.

A Vocational Re-Evaluation of the Base Year Survey of the High School Class of 1972 (Part I: Selected Characteristics of the Class of 1972). Educational Testing Service, October 1974.

National Longitudinal Study of the High School Class of 1972. Educational Testing Service, June 1973. (Study under auspices of NCES)

Practical Career Guidance, Counseling and Placement for the Noncollege-Bound Students. American Institutes for Research, June 1973.

National Longitudinal Surveys. Survey of Work Experience of Males, 14-24, 1966, and Survey of Work Experience of Young Men, 1968, Center for Human Resources Research, Ohio State University, and U.S. Department of Commerce Bureau of Census, 1966 and 1968, often referred to as the Parnes Study.

Annual State Vocational Education, Reports

Reports from State Advisory Committees

Reports from the National Advisory Committee

What is the Role of Federal Assistance for Vocational Education? Report to Congress by the Comptroller General of the United States. December 31, 1974.

For further information about program operation,

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Program Name:

Vocational Education -- Programs of National Significance

Legislation:	Expiration Date:
Vocational Education Act of 1963 as amended by P.L. 94-482, Title II, Part B, Subpart 2	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION 1/
	1977	$ 44,000,000	$ 27,153,000
	1978	51,500,000	28,307,000
	1979	59,000,000	10,000,000
	1980	66,250,000	10,000,000
	1981	74,250,000	10,000,000

Program Goals and Objectives:

The overall goal of Programs of National Significance is to improve the quality of vocational education programs in the States for all persons including the handicapped, females, the disadvantaged, and minorities. Projects are intended to impact on areas of national concern and to lever the use of State and local program dollars to assure that these funds have maximum beneficial impact. These projects are also intended to: (1) produce information for policy development, (2) develop curriculum materials for new and changing occupations, (3) develop leadership personnel and certify vocational teachers in occupational areas where teachers shortages exist, (4) demonstrate new techniques and services for students, (5) package and disseminate information in usable forms for special populations, and (6) ensure that information and materials are placed in the hands of vocational education practitioners.

Program Operations:

In FY 80, projects previously funded in FY 78 and FY 79 were monitored as well as the National Center for Research in Vocational Education, the national network of six Curriculum Coordination Centers, the 53 higher education institutions that enroll vocational education teacher certification fellows, and the 18 institutions that enroll graduate leadership development fellows.

1/ The appropriated funds for any given fiscal year are advance funded for the next fiscal year. However, these funds become available for obligation on July 1 instead of October 1.

The program maintained for its second year the National Center for Research in Vocational Education, which was established in FY 78. The purpose of the Center is to promote improvement in vocational education by: (1) conducting applied research and development activities, (2) providing leadership development activities for State and local vocational educators, (3) disseminating the results of research and development, (4) maintaining a clearinghouse on research and development projects supported by States and Federal agencies, (5) generating national planning and policy development information, and (6) providing products and technical assistance in program evaluation to State and local agencies.

In order to bring the many activities authorized under Programs of National Significance together with related Federal research and development programs, the Vocational Education Act also authorized the establishment of the Coordinating Committee on Research in Vocational Education. The Coordinating Committee, which represents the Office of Vocational and Adult Education, the National Institute of Education, the Office of Special Education, the Office of Career Education, and the Fund for the Improvement of Postsecondary Education, has three major objectives: (1) developing a plan for each fiscal year establishing national priorities for the use of funds available to these agencies for research, development, etc.; (2) coordinating the efforts of member agencies in seeking to achieve these priorities in order to avoid duplication of effort; and (3) developing a management information system on the projects funded pursuant to this plan in order to achieve the best possible monitoring and evaluation of these projects and the widest possible dissemination of their results. Under this broad mandate, the Coordinating Committee sponsored a seminar on "Research Coordinating Units (RCUs) in Vocational Education" held on December 14, 1979 and arranged for the publication of an annual publication entitled Projects in Progress. The Committee published a brochure to inform prospective grantees and contractors of the programs available to them which is entitled Guide to Federal Funding in Career Education, Education and Work, and Vocational Education.

Program Scope:

Funding for Programs of National Significance in FY 80 was $10,357,549, which included 5% of the Smith-Hughes funds. From these funds the Commissioner transferred $3 million to the National Occupational Information Coordinating Committee and supported the National Center for Research in Vocational Education with $5.5 million. The remaining funds were used for contracts and grants to support research, exemplary and innovative programs, curriculum development, vocational education personnel training, and conversion of military instructional materials for civilian school use.

Contracts and fellowships are competitively awarded to public and private organizations, institutions, and agencies. Awards were made through annual competitions reflecting selected Federal priorities for this fiscal year. Proposals were reviewed by experts in R&D in the priority areas. Projects may be approved for a period of from one to three years.

In order to promote excellence, innovation, and leadership in vocational education at the Federal, State, and local levels, activities of the Programs of National Significance focused on four major priorities each tied to a national problem. These are: (1) reduce youth unemployment, (2) promote equity, (3) improve productivity training, and (4) conserve energy and increase energy employment opportunities. All projects under this program address new and innovative approaches to these nationwide concerns.

Program Effectiveness and Progress:

During FY 80, support was provided for approximately 30 research, curriculum development, demonstration, and personnel development projects including the national network of Curriculum Coordination Centers; 297 graduate leadership and teacher certification fellowships; and the National Center for Research in Vocational Education.

Among the projects funded in FY 80 four were new applied studies projects. Most of these contained major dissemination activities including workshops and orientation for State personnel regarding project results and products. These newly funded projects addressed such content areas in vocational education as:

(1) "Development of Model Methods of Administration for the Implementation of the OCR Guidelines for Vocational Education."

(2) "Development of a Support System for Sex Equity Services in Vocational Education."

(3) "Linking Education and Economic Development in Rural America."

(4) "Vocational Education Personnel Development Needs for Working with the Handicappaed."

(5) "Design of a National Cost-benefit Study of Vocational Education at the Secondary, Postsecondary, and Adult Levels."

Three new curriculum development efforts were funded in FY 80 for $850,000. These included projects to improve vocational related instruction in apprenticeship programs; to develop modules for infusing energy conservation and use skills in existing training curricula; and to put into modular form Armed Services materials in nine environmental occupational categories.

Support was continued for a national network of six Curriculum Coordination Centers which are a major resource for diffusion of curriculum materials and assistance to State vocational leaders in maximizing their management of curriculum development, conducting field testing and demonstration, and in improving their information and materials dissemination activities. In State reports to the centers, for example, it was noted that 50 States adopted or adapted instructional materials developed outside their States at a total savings of $2,486,600 in developmental costs. During the year staff from the Centers conducted or participated in 276 workshops for materials developers, administrators and teachers. Three of the Centers joined with State energy coordinators in forming regional energy consortia of States; and one of the Centers received contributions totaling $16,000 in order to increase their technical assistance and information sharing with territories in the Pacific Basin. The Centers collectively disseminated a total of 139,635 copies of curriculum materials and information and conducted a total of 3,908 searchess for materials needed by their clients.

The personnel development activities funded during FY 80 are authorized under Section 172 of the Education Amendments of 1976 as two different programs with different purposes. The first is the Vocational Education Graduate Leadership Development Program. Institutions of higher education offering a graduate program in vocational education are eligible institutions. Individuals eligible for the program are those who have had experience in vocational education, are currently employed or are reasonably assured of employment in vocational education and have a baccalaureate degree, are recommended as having leadership potential in vocational education, and are eligible for admission as graduate students to an approved institution. One hundred fifty-five individuals received awards in FY 78 to participate in programs conducted at 18 approved institutions of higher education. The number of awardees per institution ranges from 5 to 21. Individuals may participate for up to three years of elgibility and are replaced by approved alternates as they complete or otherwise terminate their programs. FY 80 is the third year in the three-year cycle of funding for this program.

The second personnel development program is the Vocational Education Teacher Certification Fellowship Program. It includes two different groups desiring to pursue undergraduate study which will prepare them to become certified in areas of vocational education teacher shortages: (1) individuals who are or have been certified by a State within the past 10 years as teachers in elementary and secondary schools, community and junior colleges, and other thirteenth and fourteenth year programs, and who are unable to find employment in their field of certification and (2) individuals (not necessarily baccalaureate degree holders) employed in industry, business or agriculture. Awards were made to 188 individuals in FY 78 to participate in certification programs at 69 institutions during school year 1978-79. One hundred forty-two individuals continued in the second and final year of their elgibility, at 53 institutions, during school year 1979-80.

Support was continued for the National Center for Research in Vocational Education. During its second year of operation (February 1, 1979 - January 31, 1980) the Center continued in its efforts to provide a comprehensive nation-wide research and development system for vocational education. Emphasis was continued in the National Center's major themes of (1) comprehensive planning, (2) responsiveness to special needs of subpopulations, (3) sex fairness, and (4) effective evaluation. The National Center produced, under the second year scope-of-work, ninety-three deliverables. Of these, eighty-five were products made available for use by populations in the vocational education field. They include twenty-seven research, development, or evaluation reports; thirty-seven information documents or papers; and twenty-one manuals, packages or bibliographies.

During the year, the Center worked extensively with diverse organizations across the United States. Field sites were maintained at seventy-eight locations in twenty-eight States. More than 2,000 people were included as participants in these activities.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Office of Vocational and Adult Education program data.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education — Consumer and Homemaking Education

Legislation: | **Expiration Date:**

Vocational Education Act of 1963, as amended by P.L. 94-482, Part A, Subpart 5

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1968		
	1969		
	1970	$ 25,000,000	$ 15,000,000
	1971	35,000,000	21,250,000
	1972	50,000,000	25,625,000
	1973	50,000,000	38,322,000
	1974	50,000,000	30,994,000
	1975	50,000,000	35,994,000
	1976	50,000,000	40,994,000
	1977	55,000,000	40,994,000
	1978	65,000,000	40,994,000
	1979	75,000,000	43,497,000
	1980	80,000,000	43,497,000
	1981	80,000,000	43,497,000

Program Goals and Objectives:

The Vocational Education Act of 1963, as amended by the 1976 Amendments, provides formula grants to States for programs, services and activities solely for consumer and homemaking education programs. The allotments to States are to be expended solely for:

> Educational programs in consumer and homemaking education consisting of instructional programs, services, and activities at all educational levels (to prepare males and females, youth and adults) for the occupation of homemaking including, but not limited to, consumer education, food and nutrition, family living and parenthood education, child growth and development, housing and home management (including resource management), and clothing and textiles. Emphasis in these programs will be on assisting youth and adults, males and females in consumer and homemaking education on unpaid employment occupation by (a) encouraging participation of both males and females to prepare for the roles of homemakers and wage earners (unpaid employment), (b) encouraging elimination of sex stereotyping in consumer and homemaking education by promoting the development of curriculum materials which deal with increased numbers of women

working outside of the home and increased numbers of men assuming homemaking responsibilities and changing career patterns for women and men; (c) giving greater consideration to the economic social and cultural conditions and needs and such courses may include bilingual instruction; (d) encouraging outreach programs for special audiences such as, school age parent, single parents, older Americans, incarcerated persons, handicapped persons, and various ethnic groups; (e) preparation of males and females who have entered or are preparing to enter the work of the home; (f) ancillary services and activities which assume quality in Consumer and Homemaking education programs such as teacher training and supervision; curriculum development, research, program evaluation, special demonstration and experimental programs, development of instructionmaterials, exemplary projects, provision of equipment, State administration and leadership.

Program Operation:

States reported that 3.7 million students participated in programs funded during FY 1979. About 2,795,949 were in secondary schools; 52,340 were at the postsecondary level; and 811,152 were adults. Of the total enrollment, 75 percent were female. Data for FY 1980 was not available at the time this report was prepared.

States must use at least one-third of the Federal funds allocated for programs in economically depressed areas or areas with high rates of unemployment. Fifty percent matching is required except in economically depressed areas or areas with high rates of unemployment where matching is 90 percent Federal and 10 percent State and/or local.

Program Effectiveness and Progress:

States report expansion of programs and increased programming for consumer education, nutrition education, parenthood education, child development and energy education, approximately 57% of the Federal funds are utilized in economically depressed areas. States are beginning to report on research conducted on the effectiveness and responsiveness of consumer and homemaking education such as, The Male Student in Consumer and Homemaking Education (Texas); Consumer and Homeking Education Programs for Incarcerated Males and Females (Minn.); Parenthood Education - A Collaborative Approach (Fla., Minn., N. Dak.); Mainstreaming the Handicapped into Consumer and Homemaking Education (Texas, Ill., etc.) and Programs for Non-English Speaking Populations (Calif. & Fla.).

Ongoing and Planned Studies:

The National Institute of Education has completed data collection for a study of this program in 10 States as mandated under Section 523(b), (1), (f) of the Vocational Education Act as amended by Public Law 94-482.

Sources of Evaluation Data:

Annual State Vocational Education Reports

Descriptive reports submitted by State Departments of Education, State Supervisors of Home Economics Education

For further information about program operation,

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For further information about program effectiveness,

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Program Name:

Vocational Education—Bilingual Vocational Training

Legislation:

Vocational Education Act of
1963, as amended by P.L. 94-380,
Part J, 1974; as amended by
P.L. 94-482, Part B, subpart 3

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$17,500,000	$ 2,800,000
	1976	17,500,000	2,800,000
	1977	10,000,000	2,800,000
	1978	60,000,000	2,800,000
	1979	70,000,000	2,800,000
	1980	80,000,000	2,800,000
	1981	90,000,000	4,800,000

Program Goals and Objectives:

Grants and contracts are awarded up to one year to provide bilingual vocational training for persons who are unemployed or underemployed and who are unable to profit from regular vocational training. Three types of training are offered with setasides under this authority. Sixty-five percent is authorized to provide bilingual vocational training; 25% to conduct training for instructors and 10% to develop instructional material, methods or techniques for bilingual vocational training.

The target population for the bilingual vocational training program are those with limited-English-speaking ability who have completed or left elementary or secondary school and are available for training by a postsecondary educational institution or persons who have already entered the labor market and who desire or need training or retraining to expand their range of skills or advance in employment. Training allowances for participants in bilingual vocational training programs are subject to the same conditions and limitations as set forth in Section III of the Comprehensive Employment and Training Act of 1973.

Program Operation:

Under this authority, the Commissioner contracts with eligible agencies, institutions, and organizations in supplying training in recognized and in new and emerging occupations. Instruction in the English language is included to insure that participants may find employment in environments where English is the language normally used. Eligible public or private institutions or other eligible agencies may also contract to train instructors of bilingual vocational training. This training may prepare persons to participate in bilingual vocational training or vocational education programs as instructors, aides, or other ancillary personnel, such as counselors, for inservice and development programs to enable such personnel to continue to improve their qualifications while participating in such programs. Fellowships or traineeships for persons engaged in such preservice or inservice training may also be provided.

Grants and contracts may be awarded to States, appropriate institutions, organizations or individuals to assist them in developing instructional materials, methods or techniques for bilingual vocational training. Funds under this section may be used for research in bilingual vocational training, programs designed to familiarize State agencies and training institutions with research findings and successful pilot and demonstration projects in bilingual vocational training; experimental, developmental and pilot programs and projects designed to test the effectiveness of research findings and other demonstration and dissemination projects.

Program Scope:

Ten bilingual vocational training programs in four States are training 525 persons for employment in recognized occupations during fiscal year 1980. Occupations include: hospitality and food services, housing maintenance and repair, chefs, data entry operators, airconditioning and heating technicians and printing and graphics.

The essential aspect of a bilingual vocational training program is that training is conducted both in English and in the dominant language of the participants. Trainees are to acquire sufficient competence to enable them to perform satisfactorily in a work environment where English is used.

Four instructor training programs have been funded to provide preservice and inservice training for about 107 teachers and staff. Of these, 72 are in programs leading to certification or Master's degrees.

Program Effectiveness and Progress:

Bilingual vocational training programs can reduce unemployment rates, increase job earnings and increase the rate of labor force participation of limited-English speaking adults, according to a recently completed study on the status and impact of such programs.

Improvement of the average unemployment rate was greatest among trainees with high preprogram unemployment rates, Puerto Rican-born or Central American-born persons, trainees who spoke "just a few words of English" at the time they entered the program, trainees who received more than 240 hours of vocational training and trainees from Subpart 3 programs. Other variables associated favorably with unemployment rate change include: coordination between vocational and ESL instructors, and post-program employment in an occupation matched to the training area.

Only one-third of the trainees continued to work in areas closely related to their training occupation.

The study was based on a probability sample of 718 trainees in 87 vocational classes in 38 bilingual vocational training programs. The sample was designed to represent a total annual enrollment in bilingual vocational training of limited English-speaking trainees during 1978. The programs funded unded Subpart 3 account for one-third of the classes (29) and about 23 percent of the sample trainees (167).

Preprogram information was collected retrospectively from trainees during the initial interview while they were enrolled in vocational classes during the spring and summer of 1978. A second interview was conducted after the trainees had been out of training for 8 to 11 months.

Measurements of English language proficiency were obtained during both interviews. The first, obtained while trainees were still enrolled in training, was used to classify trainees according to their English language proficiency at that time. The second was used to analyze the relationship between English proficiency and postprogram labor force status.

Only 18 percent of the trainees were born in the United States. About 60 percent of the students had no previous schooling in the United States or in a setting where English was the medium of instruction. About 77 percent of the trainees had 6 years or fewer of U.S. or English school.

Unemployment dropped by more than 40 percent between the pre- and postprogram periods. The rate of labor force participation of trainees increased about 25 percent, including an increase of about one-third (from 49 percent to 67 percent) for women trainees.

The decline of the trainee pre-training post-training unemployment rates was nearly twice as great in the aggregate unemployment rate and nearly 5 times as great as the decline in the average unemployment rate for the labor areas in which the trainees lived. This magnitude of change makes it extremely likely that participation in bilingual vocational training influenced trainee employment very favorably.

The improvement in trainees' pre-training post-training earnings was closely comparable to the rate of increase for all nonsupervisory and production workers nationally. Considering their initial disadvantages in competing in the labor market, the improvement in earnings appears likely to have been influenced strongly by participation in the program, although this conclusion is less clearcut than the change in unemployment rates.

More than four-fifths of the former trainees were satisfied with their post-program jobs. At least 85 percent of the former trainees expressed satisfaction with various aspects of the program. Only job placement services received a lower rating with one-third of the trainees expressing dissatisfaction. More than 92 percent of the trainees were satisfied with the ability and the methods of their instructors. About half agreed that most of what was done on the job was learned in training, and nearly two-thirds said they were able to apply most of what they learned in training.

Sources of Evaluation Data:

Status of BIlingual Vocational Training, a mandated report by the Commissioner of Education and the Secretary of Labor to the President and the Congress, August 1978.

Assessment of Bilingual Vocational Training, Kirschner Associates, Albuquerque, New Mexico, August 1976.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Adult Education -- Grants to States

Legislation: / **Expiration Date:**

Adult Education Act, P.L. 91-230, as amended / September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1965	(Under Econ. Opp. Act)	$ 18,612,000
	1966	(" " " ")	20,744,063
	1967	$ 40,000,000	29,200,000
	1968	60,000,000	40,250,000
	1969	70,000,000	45,000,000
	1970	160,000,000	50,000,000
	1971	200,000,000	55,000,000
	1972	225,000,000	61,300,000
	1973	225,000,000	85,000,000
	1974	150,000,000	63,485,000
	1975 1/	150,000,000	67,500,000
	1976	175,000,000	67,500,000
	1977	200,000,000	71,500,000
	1978	200,000,000	80,500,000
	1979	210,000,000	90,750,000
	1980	230,000,000	100,000,000
	1981	250,000,000	120,000,000

Program Goals and Objectives:

The purpose of this program, as stated in the legislation, is "to expand educational opportunities for adults and to encourage the establishment of programs of adult education that will --

(1) enable all adults to acquire basic skills necessary to function in society,

(2) enable adults who so desire to continue their education to at least the level of completion of secondary school, and

(3) make available to adults the means to secure training that will enable them to become more employable, productive, and responsible citizens."

1/ In 1975 the Appropriation Act included funds for both 1975 and 1976, placing this program on an advance funding basis.

The legislation defines the program's population as persons who have attained the age of 16 and (1) lack sufficient mastery of basic educational skills to enable them to function effectively in society or who do not have a certificate of graduation from a school providing secondary education and who have not achieved an equivalent level of education, and (2) are currently not required to be enrolled in school. The law identifies the following groups within the target population for which there is special concern: residents of rural areas, residents of urban areas with high rates of unemployment, persons of limited English language skills, institutionalized adults, adult immigrants, and adult Indochina refugees.

Changes made in the Adult Education Act by the 1978 Amendments increase outreach activities and encourage expansion of the delivery system through the use of agencies, institutions, and organizations other than the public school system. Other changes include:

- o expanding the purpose to include basis functional skills,
- o broadening state plans to require more consultation with outside groups improved needs assessment, and removing barriers to adult participation;
- o providing research, development, dissemination, and evaluation authority at the national level.

These amendments became effective November 1, 1978. Three-year State plans beginning with Fiscal Year 1980 program operations implemented the amended legislation. Implementing regulations became effective on May 4, 1980.

Program Operations:

There are two major parts to the adult education program established under the Adult Education Act. One is the State-administered program and the other is comprised of four national discretionary programs.

The State-administered program establishes a cooperative effort between the Federal Government and the States. Funds are allocated to the States on a formula basis and the States, in turn, fund local programs based on need and resources available. Each State is required to match these Federal funds at the rate of ten cents for every ninety cents of Federal money.

Of the amount appropriated for this program, the Secretary shall allot not more than 1 percent to the outlying areas and $150,000 to each State. The remainder shall be allotted to each

State in proportion to the eligible population in each State. In order to receive its allotment a State must file a general State application and submit a State Plan not more frequently than once every three years.

The State then distributes grants on the basis of annual applications submitted by local educational agencies and public or private nonprofit agencies, organizations, and institutions. These grants are awarded competitively based on criteria devised by the States. In devising the criteria, a State must consider the following factors:

- the needs of the population to be served by the applicant

- the extent to which the applicant proposes projects to reach adult populations least educated and most in need of assistance

- the extent to which the applicant gives special emphasis to adult basic education projects

- the adequacy of outreach activities, including:

  flexible schedules to accommodate the greatest number of adults who are least educated and most in need of assistance

  locations of facilities offering programs that are convenient to large concentrations of adult populations identified by the State or locations convenient to public transportation, and

  the availability of day care services to participants in the project.

- the extent to which cooperative arrangements with other agencies will be used for delivering adult education and support services

- the resources available to the applicant - other than Federal and State adult education funds - to meet these needs

- the extent to which the proposed activity addresses the identified needs

- the extent to which the project objectives can be accomplished within the amount of the budget request.

The four national discretionary programs are:

1. A National Development and Dissemination Program;
2. Planning Grants;
3. An Emergency Adult Education Program for Indochina Refugees; and
4. An Adult Education Program for Adult Immigrants.

In Fiscal Year 1980, $5,000,000 in a supplemental appropriation was made available by the Congress for the two discretionary programs: Adult Indochina Refugees and Immigrants. An additional $17.6 million is available for adult education for Cuban and Haitian immigrants. For FY 1981, $2,000,000 is requested for the National Development and Dissemination Program.

Technical assistance is given in the development of State plans and in the quality of management plans. This is rendered by the Federal Government to the State educational agencies and by the State to the local level.

In addition to State plans which may be updated any time during the three-year periods, financial and performance reports are required annually. An evaluation of activities according to criteria and procedures included in the State plan is sent to the Secretary by the State. The evaluation shall be performed at least once every three years.

To be eligible for Federal funds a State shall maintain its fiscal effort. A State shall expend for adult education from non-Federal sources an amount equal to the fiscal effort of the State in the preceding fiscal year. A State may determine its fiscal effort on a per student basis or on a total expenditure basis. The Secretary does not make any payment to a State in any fiscal year unless the Secretary finds that the fiscal effort of a State for adult education for the preceding fiscal year was not less than the fiscal effort expended for adult education purposes during the second preceding fiscal year. However, the Secretary may waive for one fiscal year only the maintenance of effort requirement if the Secretary determines it would be equitable to do so in view of exceptional and unforeseen circumstances affecting the State.

A State wishing to receive a waiver shall submit a request with its three-year State plan or as an amendment to the plan, including in the request the reason and any additional information the Secretary may require. As of July 1980, no State has requested a waiver. Maintenance of effort is monitored indirectly by the Federal Government by an analysis of financial reports and by visits to State agencies.

Program Scope: 1/

Most Federal funds are distributed by the States to support instructional projects at the local level. Grants to States in FY 1980 ranged from $73,172 to $8,334,833.

Types and Amounts of Federal Grants:

The estimated distribution of the FY 1980 monies is as follows: (1) $1,000,000 reserved for outlying areas, (2) each State, the District of Columbia and Puerto Rico receiving a minimum amount of $150,000 and (3) the remainder distributed on the basis of the number of persons 16 and over with less than a high school education based on the 1970 Census. Thirty-two States had grants of more than one million dollars with the four largest being New York ($8,334,833), California ($7,373,624), Pennsylvania ($5,620,657), and Texas ($5,500,870). The smallest State amount was $240,062, granted to Alaska.

Within each State the Federal funds may be utilized for administrative expenses, State advisory councils, research and special projects, and various types of instructional projects. The Secretary notifies each State annually of the maximum amount available for use for State administration of the program -- approximately five percent of the total State allotment with a minimum of $50,000 per State. For each outlying area the minimum level is $25,000.

Section 310 of the Act provides that not less than ten percent of the funds allocated to the States shall be used for special projects and teacher training. These may involve the use of innovative methods, systems, materials or programs, or may be part of community schools programs which have unusual promise in promoting a comprehensive or coordinated approach to the problem of persons with educational deficiencies, or may be for training present or potential program personnel.

The majority of Federal funds are expended on various types of instructional activities through grants made by the States to projects at the local level. All States are required to place emphasis on adult basic education programs.

1/ The sources of information in this section are preliminary findings prepared by Development Associates, Inc. (under contract to The Department of Education for the evaluation of the Adult Education State-administered Program, May 1980), and the Office of Vocational and Adult Education.

In addition to adult basic and secondary education, the Federal legislation encourages provision of instruction in English as a Second Language (ESL) or bilingual education. In some States ESL activities constitute a major and separately funded component of the program. Of the total population served in adult education programs, 31% are in this component.

The Federal government also provides emergency funding as the need arises. One such need was the increased demand for adult classes brought about by the large number of Indochina refugees entering the United States. Grants for 1977-78 were made to 65 State and local educational agencies to serve 30,000 participants. There were approximately 130 full-time and 530 part-time staff employed in these programs. The amount expended was $10,029,327. $2.5 million is requested for the Emergency Indochina Program for FY 1981. Other available funds include $2.5 million for adult education programs for immigrants and $17.6 million for adult Cuban and Haitians.

State and Local Funding:

The Adult Education Act provides that the Federal share of the expenditures needed to carry out the State Plan shall be no more than 90 percent (except with respect to Guam, American Samoa, the Virgin Islands, the Northern Mariana Islands, the Trust Territory of the Pacific Islands where the Federal share may be 100 percent).

Overall, the average size of project grants during FY 1978 was $30,256. About 28% of the grants were for less than $5,000; ten percent received grants of $2,000 or less. The average cost in Federal funds for FY 1979 was $46 per participant.

Program Effectiveness and Progress:

In October 1978, the Division of Adult Education analyzed data received from 50 States reporting on the accomplishment of program objectives for FY 1977. The purpose was to assess States' progress in providing improved and more effective learning opportunities for disadvantaged adults. States reported the achievement of goals such as the following:

1. Improvements in the operation, administration, and evaluation of local programs were emphasized in statewide workshops for local administrative personnel. State coordinators visited local programs on the average of two or three times during the year to verify enrollments, compliance with adult education Federal and State legislation and regulations, and the achievement of objectives established by local directors.

2. States expanded the number of adult education classes through increased cooperative arrangements with agencies and organizations such as Community Education, CETA, Health Services, Social Services, churches, correctional and mental institutions, and community action agencies. New adult learning centers were started, classes were provided in area vocational centers, instruction was offered via television and mobil vans, and new programs were established, many with satellite classes in rural communities or other areas with small scattered numbers of adults needing services.

3. States increased efforts to improve the quality of instructional services through special demonstration and staff development projects. Projects either trained personnel or developed curriculum or instructional methodology in the areas of life-coping skills, adult high school and Adult Performing Level concepts, and volunteer tutorial training in reading and mathematics.

The evaluation completed in May 1980 for the Office of Program Evaluation by Development Associates contains the following conclusions:

1. Increasing numbers of adults are being served, but there continues to be a large, unmet need for additional services.

2. An estimate of 1.9 million adults were served in FY 1979. Of these, 58.8% were females, 65.1% were under 35 years old, 56.7% were members of ethnic minorities, and 26.9% received public assistance.

3. Generally, participants (79.7%) reported partial of full attainment of their personal goals for the specific program for which they enrolled.

4. Only 38% of students meet in elementary or secondary schools, 28% meet in adult learning centers, 10% in community colleges and vocational/technical schools, and 25% in churches, prisons, libraries, or private homes. Much of the instruction is individualized and competency-based. About 35% of the teachers are assisted by volunteers or aides.

5. Moreemphasis is needed on clearly targeting the Federal program and on helping local projects serve the targeted population groups.

Ongoing and Planned Evaluation Studies:

Information for 1979 shows the following data for the race, age, and sex of the population served nationally.

American Indian & Eskimos	21,475	
Black	391,713	
Asian & Pacific Indian	133,129	
Soanish	377,217	
Other	762,742	
16 - 44 years	1,484,341	
44 - 64	229,720	
65 +	53,012	
Male	795,183	45%
Female	971,890	55%

Sources of Evaluation Data:

- o Annual State Performance and Financial Reports
- o HEW Reports on State Program Audits
- o National Advisory Council on Adult Education
- o An Evaluation of the Adult Education State Grant Program, Development Associates, Inc., May 1980. U.S. Department of Education, Office of Program Evaluation.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Career Education

Legislation: 1/	Expiration Date:
P.L. 95-207	September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ 15,000,000	$ 10,000,000
	1976	15,000,000	10,135,000
	1977	15,000,000	10,135,000
	1978	15,000,000	10,135,000
	1979	65,000,000	20,000,000 2/
	1980	100,000,000	15,000,000 3/
	1981	100,000,000	10,000,000

Program Goals and Objectives:

P.L. 95-207, The Career Education Incentive Act, is the implementation phase of the developmental work initiated under P.L. 93-380. Under that earlier legislation the Congress authorized a program which provided leadership in the development of career education and which put major emphasis on demonstrations of the best career education programs and practices and on developing State plans for implementing career education programs.

1/ During FY 75 this Program operated under the authority of the Cooperative Research Act. In FY 76 through FY 78 it operated under the Special Projects Act, Public Law 93-380, Sections 402 and 406. Under the latter Act, half of the Special Projects funds went directly to the Commissioner for use in contracts and the other half to the programs named in that Act, one of which was Career Education. P.L. 93-380 expired at the end of 1978 and the Congress passed the Career Education Incentive Act (P.L. 95-207) on December 13, 1977 to authorize funding beginning in FY 79 and ending in FY 83.

2/ The Congress originally appropriated $32.5 million for FY 79. After receiving a request to rescind these funds, the Congress cut the appropriation to $20 million. The conferees stated that the entire amount should be spent on the elementary and secondary career education provisions of the Act (Grades K-12).

3/ The Congress originally appropriated $20 million for FY 80. After receiving a recission request the Congress reduced the appropriation to $15 million, all of which was to be spent on the elementary and secondary career education provisions of the Act.

Public Law 95-207 became operative with the appropriation of funds for FY 79. In this Act, the Congress states that its purpose is "...to assist States and local educational agencies... in making education as preparation for work, and as a means of relating work values to other life roles and choices (such as family life), a major goal of all who teach and all who learn by increasing the emphasis they place on career awareness, exploration, decision making, and planning, and to do so in a manner which will promote equal opportunity in making career choices through the elimination of bias and stereotyping in such activities, including bias and stereotyping on account of race, sex, age, economic status, or handicap." The Regulations for "Career Education Incentive Programs," which were published in the Federal Register on October 17, 1979, summarize this purpose.

Program Operations:

Both maintenance of effort and matching are required in the State allotment program under the new Legislation. To maintain effort in career education a State must spend from its own resources an amount at least equal to the amount the State spent for career education in the preceding fiscal year. The matching requirement provides that the cost of State administration of the Act may be 100% from Federal funds in FY 79, but the State must pay at least 25% for FY 80, and at least 50% for FY 81, 82, and 83. Further matching provisions require that funds for State leadership and local educational agency programs may be 100% Federal in FY 79 and 80. However, the State must pay 25% in FY 81, 50% in FY 82, and 75% in FY 83. The non-Federal share of the cost of State leadership and local implementation may come from State, local, and private sources. It may include cash contributions, in-kind contributions, volunteer services, materials, and equipment.

No State may reserve more than 10% of its funds for providing State leadership activities listed in the Act, either directly or through arrangements with public agencies and private organizations. No State may reserve more than 10% of its funds for FY 79 and 5% of its funds for FY 80 through 83 for: (1) employing additional State educational agency personnel to administer and coordinate programs assisted under the Act, and (2) reviewing and revising the State plan. The unreserved funds must be distributed by the State to local educational agencies for comprehensive career education programs. At least 15% of the funds distributed to local agencies must be used for programs to develop and implement comprehensive career guidance, counseling, placement, and follow-up services using counselors, teachers, parents, and community resource personnel.

To obtain funds for comprehensive career education programs, a local educational agency must apply to its State agency. Each State agency will review the applications and may make payments to local educational agencies, to the extent practicable, on the basis of criteria established by the State agency and criteria in Section 8(b) of the Act.

Unless a State is prohibited by Law from providing services to students and teachers in private and non-profit schools, the State must make provisions for the effective participation on an equitable basis of private-school students and teachers in programs assisted under the Act. In States which are prohibited from providing such services, the Secretary of Education is responsible for providing that these private-school students and teachers participate. Private school officials must be consulted on the arrangements, and a public agency in the State will administer the funds.

Each State is required to submit an annual report to the Secretary on or before December 31 of each year except FY 79. The report will contain: (1) an analysis of the extent to which each objective in the State plan has been achieved, (2) a description of the extent to which State and local educational agencies are using both Federal and their own resources to achieve these objectives, and (3) a description of the programs funded within the State, including an analysis of reasons for their successes and/or failures.

In order to receive FY 79 funding under the new Legislation each State Education Agency (including Insular areas) was required to submit, by June 14, 1979, a letter including assurances specified in the Federal Regulations. The amount of FY 79 funds distributed to the States in June and July, 1979 was $18.5 million. This represents the funds appropriated for FY 79 minus the set-asides allowed by the Law for discretionary use by the Commissioner of Education. (The District of Columbia and Puerto Rico are included as States. The five insular areas received funding from the Commissioner's discretionary funds with an amout equal to one per centum of the appropriation -- $200,000.)

To become eligible for further funding in FY 80 and beyond, each State and Insular area was required to submit a five-year plan for implementing career education in that State. These plans set out explicitly the objectives the State will seek to achieve by the end of each of the fiscal years for which funds are made available under the Act, describe how the funds will be used to implement the overall objectives in each fiscal year, set forth policies and procedures which the State will follow to assure equal access for all students, provide adequate assurance of complying with that part of the Law which authorizes State and local activities, and provide proposed criteria for evaluating the extent to which the State achieves the objectives set out in its plan.

These P.L. 95-207 plans were based on the State plans developed earlier under P.L. 93-380. Funds were made available under P.L. 93-380 in FY 76 and 77 to enable each State and Territory to prepare a five-year plan for implementing career education. Each State and Territory received a written evaluation of its plan during the period from March through May 1979. All States and Territories also received criteria and guidelines for adapting their plans to meet the requirements of the new Incentive Act, P.L. 95-207. (These evaluations were done under a contract with the Southwest Regional Laboratory for Educational Research and Development.)

Program Scope:

P.L. 95-207 makes State allotment funds available for 52 States--the usual 50 plus the District of Columbia and Puerto Rico. Allotment funds are made available for the insular areas as a one-percent set-aside in the Secretary's discretionary fund. In the first year of operation of the Act, all of the States except one (New Mexico) and all five insular areas applied for and received FY 79 funds by sending in the required letters of assurance.

In FY 80, all of the States except three (New Mexico, Nevada, and South Dakota) submitted and received approval of their State plans for career education and applied for FY 80 State allotment funds. In addition, all of the insular areas except the Trust Territory of the Pacific submitted State plans and applied for FY 80 funds.

The Law provides that the funds appropriated under P.L. 95-207 for the State allotment program are to be distributed among the participating States on the basis of the population aged 5 to 18. Accordingly, in August of 1980 a total of $13,875,000 of FY 80 funding was distributed to the participating States and a total of $150,000 was distributed to the four participating insular areas. (This represents the funds appropriated for FY 80 minus the set-asides allowed by the Law for discretionary use by the Secretary of Education.)

In the distribution of FY 80 funding, there were 16 States which received minimum allotments of approximately $128,000 each. Twenty States received between $129,000 and $300,000 each, six States received between $301,000 and $500,000 each, six received between $501,000 and $1,000,000 each, and one State received slightly over one million dollars.

Program Effectiveness and Progress:

A substantial amount of data on the effectiveness of local programs has been gathered since 1974 and has been reported in the Annual Evaluation Report for FY 78. As of the end of FY 80 there were 14 projects which had been judged exemplary by the Joint Dissemination Review Panel of DHEW's Education Division. Information on these projects is being disseminated through ED's National Diffusion Network.

An evaluability assessment of the new program initiated under P.L. 95-207 was completed in FY 80 and has been reported in a document entitled Implementation of the Career Education Incentive Act: Interim Report on the Evaluability Assessment (ED-186-679). This study concluded that the P.L. 95-207 career education program is plausible and measurable. The study also developed an evaluable program model which contains 113 activity/outcome linkages, and the study identified, for each linkage, (a) the activity, (b) the intended outcome, (c) the measures, (d) the data source, (e) the quantifiability, (f) the potency, and (g) the collection and processing ease/difficulty. A summary of this study may be found in Appendix B of Volume II of this Report.

Ongoing and Planned Evaluation Studies:

As a follow-on to the evaluability assessment completed in 1980, a rapid feedback study is being conducted and should be completed by the middle of FY 1981. It will provide information on program effects 20 to 22 months after funds were first released to the States and implementation of the P.L. 95-207 program was begun.

Sources of Evaluation Data:

Project reports from grantees, 1975 and 1978.

Jung, Steven M. and others. Implementation of the Career Education Incentive Act: Interim Report on the Evaluability Assessment. Palo Alto, California: American Institutes for Research: March 1980, (ED-186-679).

Mitchell, Anita M. Assessment of State Plans for Career Education. Los Alamitos, California; Southwest Regional Laboratory for Educational Research and Development; September 1978.

Bhaerman, Robert D. Career Education and Basic Academic Achievement: A Descriptive Analysis of the Research. Washington, D.C. U.S. Office of Education; May 1977. (ED-140-032)

Bonnet, Deborah G. What Does Career Education Do For Kids? A Synthesis of 1975-76 Evaluation Results. Crawfordsville, Indiana: New Educational Directions, Inc.; June 1977. (ED-143-831)

Datta, Lois-ellin and others. Career Education - What Proof Do We Have That It Works? Washington, D.C.: U.S. Office of Education; 1977. (ED-151-516)

Enderlein, Thomas. A Review of Career Education Evaluation Studies. Washington, D.C.: U.S. Office of Education; 1976. (ED-141-584).

McLaughlin, Donald and others. Career Education in the Public Schools, 1974-75: A National Survey. Palo Alto, California: American Institutes for Research; May 1976. (ED-122-165).

National Advisory Council on Career Education. The Efficacy of Career Education. Washington, D.C.: The Council; 1976. (ED-130-092)

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E.

Developmental Programs in Education

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Teacher Corps Program

Legislation:	Expiration Date:
Title V-A of the Higher Education Act of 1965 (P.L. 89-329), as amended by P.L. 90-35, P.L. 90-575, P.L. 91-230, P.L. 92-318, P.L. 93-380 and P.L. 94-482	FY 1979 1/

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$ 36,100,000	$ 9,500,000
	1967	64,715,000	11,324,000
	1968	33,000,000	13,500,000
	1969	46,000,000	20,900,000
	1970	80,000,000	21,737,000
	1971	100,000,000	30,800,000
	1972	100,000,000	37,435,000
	1973	37,500,000	37,500,000
	1974	37,500,000	37,500,000
	1975	37,500,000	37,500,000
	1976	37,500,000	37,500,000
	1977	50,000,000	37,500,000
	1978	75,000,000	37,500,000
	1979	100,000,000	37,500,000
	1980	100,000,000	30,000,000
	1981	100,000,000	30,000,000

Program Goals and Objectives:

The purposes of Teacher Corps as stated in the legislation are to strengthen the educational opportunities available to children in areas having concentrations of low-income families, to encourage colleges and universities to broaden their programs of teacher preparation, and to encourage institutions of higher education and local education agencies to improve programs of training and retraining for teachers and teacher aides by --

> (1) attracting and training qualified teachers who will be made available to local education agencies for teaching in such areas;

1/ This legislation will be automatically extended to FY 1980 if Congress does not act on new legislation before the current expiration date.

(2) attracting and training inexperienced teacher interns who will be made available for teaching and inservice training to local education agencies in such areas in teams led by an experienced teacher;

(3) attracting volunteers to serve as part-time tutors or full-time instructional assistants in programs carried out by local education agencies and institutions of higher education serving such areas;

(4) attracting and training education personnel to provide relevant remedial, basic, and secondary educational training, including literacy and communication skills, for juvenile delinquents, youth offenders, and adult criminal offenders; and

(5) supporting demonstration, documentation, institutionalization, and dissemination of the results.

This last goal reflects several significant changes introduced by the Education Amendments of 1976. One major change was extending the two year grant cycle of previous years to five years. A second was that each Teacher Corps project will emphasize the demonstration of new programs and practices with linkages between preservice and inservice training and which involve the total faculty of a site school. Typical program elements include flexible models of teacher education based on performance criteria; the development of collaborative decision-making procedures that assure parity to the participating college or university, community served by the project, and local education agency; the development of a community component which seeks to lessen the distance between the institutions and community by providing educational services beyond the school walls and involving parents in the classroom program; the demonstration of a major teacher training framework (CBTE, multidisciplinary, research based, etc.) for the demonstration of an integrated program of training and retraining; and an emphasis on the improvement of management within the cooperating agencies of the delivery of education personnel and retraining services including planning, documentation, institutionalization, and dissemination.

In FY 78 Teacher Corps goals and objectives were expanded to include demonstration of training and retraining programs for all educational personnel in grades K-12, in institutions of higher education, and in communities served by these programs. These demonstration programs will be implemented over a five year grant period. Planning to meet this broader, more inclusive mandate began in FY 77; grants were awarded to 81 projects in FY 78 and to 53 more projects in FY 79. Two were later discontinued.

Program Operations:

T.C. awards grants to an institution of higher education and a local educational agency, either of which may be the prime grantee, to cooperatively mount and operate a project which will be managed collaboratively. All Teacher Corps projects are funded through competitive grants to achieve the legislated purpose and the four outcomes using the means specified in the Rules and Regulations and the strategies determined by the project.

Projects funded in July 1978 are known as Program 78. New projects in 1979 are known as Program 79. There are 79 Program 78 projects in their second year and 51 Program 79 projects in their first year. After Year 1 of each Program, grantees are eligible to have their grants renewed annually for the four subsequent years. After Year 3 there will be diminishing levels of Federal funds since institutionalization of the activities using local funds is expected to begin.

The organizational structure of the Teacher Corps is as follows: (a) the National Office within the U.S. Office of Education consisting of three Branches--Management, Operations, and Development; (b) a system of Networks operated by Boards, with contracted responsibility to identify and meet needs and provide information links within and among projects of each Network; (c) within a project two groups share information, guide the project, and provide community-based support--an elected Community Council and a project Policy Board (the nucleus on the Board must be the Dean of the IHE, the Superintendent of the LEA and the Chairperson of the Community Council;) (d) also at the local project level, all components collaborate.

The organization of a typical Teacher Corps project in the field usually includes at least one but not more than four schools (where elementary schools must be Title I eligible) within a feeder system; a team of at least four teacher-interns and one experienced teacher as a team leader; an elected community council having at least seven members; an institution of higher education; a local education agency, and other institutions and agencies such as correctional institutions, teacher organizations, professional associations, social service agencies, and students.

Program Scope:

During Fiscal Year 1979, the Teacher Corps had 132 operational projects which included the 79 Program 78 projects and the 53 Program 79 projects. These projects are located in 123 school districts, 130 institutions of higher education, and seven State Departments of Education, including outlying regions and correctional institutions. Teacher Corps projects, through differentiated staffing and individualized instructional activities, directly affected the learning experience of approximately 520,000 children. Projects impacted on special clientele groups such as bilingual children, Indian children, and children in correctional institutions. Teacher Corps also supported a special program which encouraged high school and college students, parents and other community residents to serve as tutors or instructional assistants for children in disadvantaged areas. In 1979, approximately 25,780 educational personnel are involved in Teacher Corps projects.

Title V, A of the Higher Education Act, Section 517 prohibits using Teacher Corps members to replace any teacher who would otherwise be employed. There is no provision for waivers of this requirement. Compliance is assured by the Teacher Corps regulations, State approval of the project proposal, and scrutiny by specialists on biannual site visits.

Program Effectiveness and Progress:

A Study of Teacher Training at Sixth Cycle Teacher Corps Projects (Feb. 1975, by Pacific T & TA Corp under contract to OED/OE) found that:

- Teacher Corps graduates were superior to control group teachers on many of the teacher performance variables desired by Teacher Corps projects, e.g., developing ethnically relevant curriculum using community resources in teaching and initiating contact with parents, positive attitudes about reading development, and causes of poverty in society.

- There was no difference between the two groups of teachers in terms of (a) their perception of the importance of bringing about educational change in the school, and (b) in reading gains of pupils despite a greater emphasis on reading instruction on the part of control group teachers in grades 2-3.

- Teacher Corps graduates were able to bring about changes in a pupil's self-concept that were significantly greater than changes brought about by control group teachers.

- Teacher Corps graduates who facilitated both high reading gains and improved self-concept tended to be teachers who brought about change in the school and who initiated contact with parents.

- No teacher background characteristics or Teacher Corps program variables were significantly correlated directly with pupil reading gain. A number of Teacher Corps program variables, however, were significantly correlated with pupil self-concept growth and other pupil variables. The consistent pattern of relationship between most pupil variables and Teacher Corps program characteristics strongly suggests that teacher training does make a difference on pupil behavior in the classroom and on related teacher performance.

In April 1977 a paper was done by G. Thomas Fox, Jr. of the University of Wisconsin - Madison on the Limitations of a Standard Perspective on Program Evaluation: The Example of Ten Years of Teacher Corps Evaluations.

- This addresses the problems associated with using a generally standard approach for evaluation of an educational program by reviewing the history of evaluation of Teacher Corps. The three major reasons for choosing Teacher Corps were: (1) Teacher Corps has a long history of change and re-direction in its policy and guidelines, thus making it possible to look at the extent to which evalution studies have affected policy decisions; (2) the complexity of Teacher Corps has provided a challenge to evaluators over the years; and (3) the field of teacher education is in need of greater understanding based upon empirical findings.

Six evaluations are reviewed and Fox concludes that although they "performed credibly from the perspective of standard evaluation," because of the methodology used, they lacked usefulness to the program and decision makers. His recommendations for future studies are incorporated in the new evaluation (described below) for which OED/OE contracted with SRI International in August 1978.

Ongoing and Planned Evaluation Studies:

Teacher Corps projects under broadened program goals and new program regulations began their 5-year grant periods in early summer 1978. A comprehensive longitudinal evaluation of the new program has been developed by OED and a contract awarded in August 1978 to SRI International for the implementation of the evaluation.

The focus of this evaluation is on Program 78 and Program 79 Teacher Corps projects. Some 79 local project grants were funded for Program 78 and 51 for Program 79. Separate grants were made to the participating institutions of higher education, to the LEAs and to the correctional institutions if appropriate.

The work to be performed required the development of a five-year evaluation design. However, the initial procurement will cover the first three years of evalution activities. The five-year evaluation will be conducted in three phases: (1) planning, (2) operations, and (3) analysis and reporting. The period of performance under Phase I and II, Development and Operation, will be 36 months from the date of award. Phase III, Institutionalization and Adaptation, will be an option and if exercised, will have a period of performance of 24 months. Some activities in these phases necessarily overlap. The emphasis is upon what and how the projects tried, implemented, succeeded or failed within the Teacher Corps Program at the local regional and national levels.

Source of Evaluation Data:

1. Annual operational data collected by the Teacher Corps Program.

2. Marsh, David and Lyons, Margaret. A Study of Teacher Training at Sixth-Cycle Teacher Corps Projects. Volume I Methodology and Findings. July, 1974; A Study of the Effectiveness of Sixth-Cycle Teacher Corps Graduates in Highly Innovative Roles in Education: A Follow-up Study. Phase II. February, 1975. Pacific T and TA Corporation. U.S. Department of Health, Education and Welfare, Office of Education, Office of Planning, Budgeting and Evaluation.

3. Fox, G. Thomas. Limitations of a Standard Perspective on Program Evaluation: The Example of Ten Years of Teacher Corps Evaluations. April 1977. University of Wisconsin-Madison.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Teacher Centers Program

Legislation:

Higher Education Act of 1965, Section 532, Title V-B, as amended by P.L. 94-482, P.L. 95-561, P.L. 96-374, Education Amendments of 1976, 1978, and 1980 respectively

Expiration Date:

September 30, 1985

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	$ 75,000,000	$ --
	1978	75,000,000	8,250,000
	1979	100,000,000	12,625,000
	1980	100,000,000	13,000,000
	1981	20,000,000	13,000,000

Program Goals and Objectives:

The purpose of this program is to make grants to local education agencies to plan, establish, and operate and to institutions of higher education enabling them to operate teacher centers where public school teachers, through Teacher Center Policy Boards, may design and supervise their own programs of curriculum development and inservice teacher training. This training should enable the teachers, and schools, to better meet the educational needs of their students.

Program Operations:

Applications (after approval by the Teacher Center Policy Board) are submitted to the Secretary of Education through State departments of education, which may screen out those it finds unsuitable. Ten percent of the appropriation funds grants to institutions of higher education, 80 percent goes to local educational agencies, and 10 percent goes to State departments of education to compensate them for screening the applications and for later providing technical assistance and dissemination services to the grantees.

Applications which reach the Secretary are reviewed by experts drawn from outside of the Education Department.

The administering unit in ED stimulates sharing of experiences among the project directors by means of regional and national conferences, and facilitates the gathering of evaluative data by special funding to two centers of expertise which in turn help the separate project directors.

Each center that performs satisfactorily may be funded annually for up to three years.

Program Scope:

During Fiscal Year 1980, the program's third year of operation, $11,354,400 supported 89 operational centers in 42 States, Guam and the District of Columbia. An amount of $345,600 funded 10 planning grants and $1,300,000 paid for States' program activities.

Program Effectiveness and Progress:

No overall evaluation study has been conducted on this program.

Ongoing and Planned Evaluation Studies:

No overall evaluation of the Teacher Centers Program has been undertaken by the Department of Education. Syracuse University has studied and documented intensively the activities, services and resources offered by 55 of the 99 projects.

Sources of Evaluation Data:

Program records.

Sam J. Yarger and Sally K. Mertens, Teacher Centers Program Documentation Study. Syracuse: Syracuse University, 1980

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Public Library Services

Legislation:

Library Services Act, P.L. 84-597, as amended by the Library Services and Construction Act, Title I, P.L. 91-600 effective FY 1972 and further amended by P.L. 93-133, P.L. 93-380 and P.L. 95-123

Expiration Date:

FY 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
Beginning in 1972, State institutionalized Services (Title IV-A) and Services to the Physically Handicapped (Title IV-B) were combined under Title I. The 1977 amendment requiring a percentage of any excess of funds over $60 million to be reserved for strengthening major urban resource libraries was activated in FY 1979.	1961	$ 7,500,000	$ 7,500,000
	1962	7,500,000	7,500,000
	1963	7,500,000	7,500,000
	1964	25,000,000	7,500,000
	1965	25,000,000	25,000,000
	1966	25,000,000	25,000,000
	1967	35,000,000	35,000,000
	1968	45,000,000	35,000,000
	1969	55,000,000	35,000,000
	1970	65,000,000	29,750,000
	1971	75,000,000	35,000,000
	1972	112,000,000	46,568,500
	1973	117,600,000	62,000,000 1/
	1974	123,500,000	44,155,500
	1975	129,675,000	49,155,000
	1976	137,150,000	49,155,000
	Transition Quarter		12,289,000
	1977	137,150,000	56,900,000
	1978	110,000,000	56,900,000
	1979	140,000,000	62,500,000
	1980	150,000,000	62,500,000
	1981	150,000,000	62,500,000

Program Goals and Objectives:

The legislative purpose of the program is to provide support to States: to assist them in providing library services to areas without such services or areas with inadequate services, including services to such groups as the disadvantaged, bilingual, the physically handicapped, those in State-supported institutions and users of major urban resource libraries; to strengthen metropolitan

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1/ $32,000,000 of the 1973 appropriation was impounded and not released until FY 1974.

public libraries which serve as national and regional resource centers; and to plan programs and projects to extend and improve services. Funds may also be used to strenthen the capacity of the State library administrative agencies to serve people and for administrative costs for all Library Services and Construction Act programs.

Program Operations:

LSCA, Title I, allots funds to the States by grants on a formula-matching basis. Each State, and D.C. and Puerto Rico, receives a base of $200,000 and each outlying Territory receives a base of $40,000, with the balance distributed on the basis of total resident population. The Federal share ranges from 33 percent to 66 percent except for the Trust Territories, which are 100 percent federally funded. States must match in proportion to their per capita income and maintain the level of expenditures of the second preceding year. They must also maintain the same level of fiscal effort of the second preceding year for handicapped and institutionalized library services. Federal expenditures for administration of the program must be matched with an equal amount of non-Federal funds. States with cities of 100,000 population or more must reserve funds for major urban resource libraries according to a statutory formula when the appropriation exceeds $60 million and may not reduce the amount paid to these libraries below the amount they received in the preceding year. In order to participate, each officially designated State library administrative agency must submit a basic State plan (State/Federal agreement), an annual update of the long-range program for library development based on the State's assessed needs, an annual program and an annual evaluation report. These documents outline a State's goals, objectives, priorities, and activities, along with project evaluation for specified periods of time. Furthermore, they provide to the Secretary of Education assurances that the above mentioned specific requirements will be met annually as stated in the State/Federal agreement signed by both parties.

Program Scope:

1. Federal dollars appropriated (1957-80)	$782,673,500
2. State and local matching dollars (1957-80)	over $2-1/2 billion

Estimated FY 79 data for this program are as follows:

3. Population with access to public library services	211,000,000

4.	Disadvantaged persons receiving services from LSCA funds	30,000,000
5.	Number of State institutionalized persons served by LSCA funds	750,000
6.	Number of handicapped persons served by LSCA	500,000
7.	Number of metropolitan libraries strengthened as resource centers	109
8.	Number of cities with populations of 100,000 or more which may qualify for portion of funds in excess of annual appropriation of $60 million.	170

Program Effectiveness and Progress:

Federal assistance has contributed to the expansion and improvement of library services throughout the country. Today, about 96 percent of the population has access to some form of public library services. Current reports indicated that over 60 percent of the LSCA expenditures have gone to projects with designated disadvantaged priorities.

o Governors Conferences, held in Fiscal Year 1979 in preparation for the White House Conference on Library and Information Services, which was held in November 1979, have spurred citizen participation in evaluating present and planning future library and information services, State by State and Nationally.

o Public library services that link individuals with available, necessary information for self-help, coping, employment and learning skills are expanding. Information and referral (I&R) services are growing and it is estimated that 60% of all public libraries are providing some form of I&R.

o Services to handicapped persons and other special identified groups are expanding. With LSCA support, libraries are utilizing new technology and developing new delivery strategies to reach the visually impaired, deaf, and other physically disabled persons in the population. New media being used include reading machines, teletypewriters, and radio receivers. Libraries are removing their access barriers and delivering programs outside the library to institutions, homes, and into rural areas by mail, in an effort to reach more handicapped and isolated persons.

- Increased literacy programs in libraries are attracting adults and young adults who are learning reading skills in the non-classroom atmosphere of the libraries. Often tutors and teachers are volunteers.

- Through responsive library programs, independent learners are pursuing their special interests, upgrading their professional knowledge and job skills.

The first study of the impact of Title I services, covering the period from 1964 to 1968, was made by the System Development Corporation (SDC), Santa Monica. In reviewing the LSCA activities in 11 States it found that most projects felt handicapped by: lack of manpower; lack of coordination among public libraries and other education agencies; need for research in determining whether disadvantaged projects were reaching their goals; lack of understanding on the part of the public of library's potential and actual services; lack of ability of libraries to react quickly to public demands for more services; and lack of suitable measurements of library performance.

The Behavioral Science Corporation, Washington, D.C., conducted a study to evaluate public library service to disadvantaged people in selected cities. These projects were not limited, however, to Title I projects. This pilot study selected library programs serving the disadvantaged in 15 cities and utilized user and nonuser interviews for evaluation. The study recommended that libraries find better ways to coordinate with schools when dealing with disadvantaged children. The successful programs were characterized by some or all of the following features: active participation by the target group; emphasis on audio visual rather than print materials; and, provision of significant service in the community.

Another major evaluation study was conducted by SDC to determine how the Library Service and Construction Act, Title I, was meeting the public library needs of special clientele groups; e.g., disadvantaged, ethnic minorities, handicapped, and institutionalized persons. This evaluation surveyed all State Library Agencies, all known ongoing projects directed toward these groups, and discontinued projects. This study provided an inventory of projects, a needs assessment, and recommendations for program change. Over 1,600 projects were identified and queried. It was found that many projects classified as discontinued (these projects had been initiated with LSCA funds) were operational with funds now received from State or local agencies. A methodology specifying criteria to judge program effectiveness was developed, and was tested and validated with a sample of projects.

The report concluded:

> It is evident from the data gathered in this project that LSCA projects directed toward special clientele have been successful, to some extent. More projects are successful than unsuccessful, and fairly significant numbers of special clientele groups have been reached. It is also evident that some projects are far from successful. Many important needs are not being met, or barely being met, even by projects judged successful...
>
> In many States it was evident that were federal funds not available, there would be no projects whatsoever for special clientele. Indeed, in one State plan that was examined the statement was made that, while there were special clientele in the State, no projects need be directed towards them because the state intended to give service to all of its citizens on an equal basis: That naive attitude represents -- all too frequently -- the lack of knowledge and concern that exists at many levels of state and local government. Special clientele frequently need to be educated to become users, and persuaded that the library has something of value for them. LSCA funds have been a critical factor in projects for special clientele, and they have provided the bulk of the funds being used for innovative projects; without LSCA (or a real substitute) there would be little or no innovation -- in short, a rather static, even moribund public library in the U.S.

A subsequent study of "The Public Library and Federal Policy," performed by SDC, assessed the current national public library situation utilizing existing data and included recommendations for further data collection efforts in areas of current information deficiencies. The final report stated:

> In this study we examined the past and present status of the public library and likely directions for the future. Based upon our examination of the public library as an information-providing institution, and our certainty that free access to all kinds of information is a requirement of a democratic society and a necessity for individual well being, [it was found that]

> The Federal government has played a role in recent years of helping the public library to organize into systems and to provide services to segments of the population who were previously unserved. While there are indications that Federal programs suffered from insufficient coordination, insufficient evaluation, and inadequate funding, there is much evidence to demonstrate that a strong impetus toward system organization and the provision of services to special clientele were provided by Federal intervention.

In addition to these major studies, inhouse program analyses and observations made by regional and headquarters staff, and the American Library Association's 20-year LSCA survey results, indicate the following accomplishments of LSCA:

- With its matching requirements, LSCA has increased the overall availability of library services by stimulating programs for statewide public library development. Since the inception of LSCA, 19 additional States have initiated grants-in-aid programs, bringing the total of such programs to 43 with annual--appropriations exceeding $154 million. Statistical tabulations show that the number of persons with access to public library services has risen from 88 million to 211 million, a dramatic increase from 56 percent to 96 percent of the total U.S. population being served.

- An examination of expenditure reports reveals a marked decrease in the use of LSCA funds for administrative purposes, with a major drop from 7.2 percent to less than 4 percent occurring since 1975.

- LSCA has stimulated major inroads in critical needs areas by providing funds to initiate innovative and specialized services. New and previously unserved handicapped clienteles, in particular the less visible populations such as the deaf, mentally retarded, learning disabled, and the homebound are now being offered specially designed services and materials. LSCA has also prompted recognition and response to the cultural and linguistic needs of smaller ethnic enclaves, such as Armenians, Greeks, Lithuanians, and Asian newcomers, while continuing to build services to the major Spanish-speaking ethnic populations.

Ongoing and Planned Evaluation Studies:

"An Evaluation of Title I of the Library Services and Construction Act," began in the fall of 1978 and is scheduled to be completed by November 1980. Four basic objectives are addressed by this evaluation of Title I of the Library Services and Construction Act. They are:

1. To determine how LSCA Title I has affected the coverage, accessibility, and adequacy of public library services.

2. To determine how LSCA Title I funds are used by the States. To determine what effects these uses had and how responsive these uses have been to the needs of special client groups.

3. To determine how the objectives of LSCA Title I are constrained by and affected by State and local library structure.

4. To determine what effects LSCA Title I has had upon the organization and support of public library services at the State and local level.

Sources of Evaluation Data:

1. Overview of LSCA Title I, by System Development Corporation, published by Bowker, 1968.

2. A Study of Public Library Service to the Disadvantaged in Selected Cities, Behavior Science Corporation, 1970.

3. Study of Exemplary Public Library Reading and Reading Related Programs for Children, Youth and Adults, by Barss, Reitzel & Assoc., Inc., 1972.

4. Basic Issues in the Government Financing of Public Library Services, Government Studies and Systems, May 1973.

5. Evaluation of LSCA Services to Special Target Groups, by System Development Corporation, July 1973.

6. The Public Library and Federal Policy -- by System Development Corporation, July 1973.

7. Various Library Desmonstration Projects: These projects are designed to survey and analyze the public library and information services to the American Indian, the aging, the handicapped institutionalized, and the information needs of the rural and urban poor.

8. Program Operational Data.

For further information about program operations,

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For further information about studies of program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Interlibrary Cooperation

Legislation:	**Expiration Date:**
Library Services Act, P.L. 84-597 as amended by Library Services and Construction Act, Title III, P.L. 89-511 as amended and extended by P.L. 91-600 and P.L. 95-123.	FY 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1967	$ 5,000,000	$ 375,000
	1968	7,500,000	2,256,000
	1969	10,000,000	2,281,000
	1970	12,500,000	2,281,000
	1971	15,000,000	2,281,000
	1972	15,000,000	2,640,500
	1973	15,750,000	7,500,000 1/
	1974	16,500,000	2,593,500
	1975	17,300,000	2,594,000
	1976	18,200,000	2,594,000
	Transition Quarter		648,000
	1977	18,200,000	3,337,000
	1978	15,000,000	3,337,000
	1979	20,000,000	5,000,000
	1980	20,000,000	5,000,000
	1981	20,000,000	12,000,000

Program Goals and Objectives:

The legislative purpose of the program is to establish and maintain local, regional, State or interstate cooperative networks of libraries and for the coordination of informational services of school, public, academic, and special libraries and information centers, permitting the user of any one type of library to draw on all libraries and information centers. The participation of one other type library in addition to a public library is a program requirement.

Program Operations:

The Library Service and Construction Act (LSCA), Title III, allocates funds to the States on a formula basis. Each State receives a minimum sum of $40,000, and the outlying territories $10,000, and the remainder is allocated by population. The State library agency must submit its Annual Program Plan (proposed expenditures of funds) before it can receive its

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1/ $4,770,000 of the FY 73 appropriation was impounded until FY 74. Actual FY 73 obligations were $2,730,000.

allocation. Title III does not require State or local matching funds, although many projects do use State and local funds along with LSCA funds.

Program Scope:

The FY 79 appropriation provided support for cooperative networks involving the sharing of resources among 7,575 libraries of at least two or more of the following four types: school, academic, public, or special. Based on the annual programs for FY 79, the table indicates how funds were budgeted.

Category	No. of States Reporting	% of Total Expenditures
1. Telecommunications networks for reference and bibliographic services and interlibrary loan	57	58%
2. Centralized acquisition and processing materials	13	6%
3. Centralized listing of holdings of library materials (books, periodicals, audiovisual, etc.)	26	4%
4. Comprehensive statewide planning	9	2%
5. Training of specialists in interlibrary cooperation	13	1%
6. Networking among States	20	1%
7. Combinations of above categories	32	27%
8. Experimental projects	2	1%

Program Effectiveness and Progress:

- Participation by all types of libraries in telecommunications and information processing systems has increased.
- Access to computer-based information services through regional, State, and multi-State cooperative networks has been made available to more people, including those in sparsely populated rural areas.

- o Planning within States, as well as among States, for coordination of library and information services has increased.

- o Bibliographic data banks have been expanded to include the holdings of many libraries of different types within regions, statewide and in multi-State areas.

A study of library cooperatives, networks, and demonstration projects was completed in April 1978, by Applied Management Sciences, Silver Spring, Md. It states, "LSCA III has impacted the development and expansion of library cooperation in a number of ways. LSCA III is a major driving force behind the development of multitype library cooperation and networking, primarily at the State level. Along with LSCA I, use of LSCA III has resulted in greater centralization of planning and administration of library services at the State and regional levels. LSCA III was credited as a major influence on State legislatures to modify or pass into law legislation favoring cooperation and networking. Activities and services to increase access to library resources and to provide librarians with needed continuing education were listed as the major outcomes of the cooperative and networking projects."

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

1. A Study of Library Cooperatives, Networks, and Demonstration Projects, by R. Patrick, et. al. K.G. Saur, New York, 1980

2. Program operational data.

For further information about program operations,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Library Resources

Legislation:	Expiration Date:
Higher Education Act of 1965, Title II-A	FY 1985

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$50,000,000	$10,000,000
	1967	50,000,000	25,000,000
	1968	50,000,000	24,522,000
	1969	25,000,000	25,000,000
	1970	75,000,000	9,816,000
	1971	90,000,000	9,900,000
	1972	18,000,000	11,000,000
	1973	75,000,000 (II-A&B)	12,500,000
	1974	85,000,000 (II-A&B)	9,975,000
	1975	100,000,000 (II-A&B)	9,975,000
	1976	100,000,000 (II-A&B)	9,975,000
	1977	110,000,000 (II-A&B)	9,975,000
	1978	115,000,000 (II-A&B)	9,975,000
	1979	120,000,000 (II-A&B)	9,975,000
	1980	120,000,000 (II-A&B)	4,988,000
	1981	10,000,000 (II-A only)	4,988,000

Program Goals and Objectives:

The legislation provides for grants to eligible institutions to assist and encourage them in the acquisition of library resources (including law library resources), such as books, periodicals, documents, magnetic tapes, phonograph records, audiovisual materials and other related materials (including necessary binding). Eligible institutions are defined as institutions of higher education and other public and private nonprofit library institutions whose primary function is providing library services to institutions of higher education on a formal cooperative basis.

Program Operations:

Three types of grants can be awarded: (1) Basic grants of up to $5,000, provided that the applicant expends at least the same amount from institutional funds for library resources; (2) Supplemental grants of up to $20 per student, provided that the applicant meets the eligibility terms for a Basic grant; and (3) Special Puprose grants, unrestricted as to the amount requested but which must be matched with $1 of institutional funds for library resources for every $3 of Federal funds requested.

For both the Basic and Special Purpose grant categories, applicants must meet maintenance-of-effort requirements in two areas: total library purposes and library resources. In the fiscal year of application, the applicant must expend, or plan to expend, an amount equal to or in excess of the average of the 2 fiscal years preceding the year of application for total library purposes; in the year of application, the applicant must expend, or plan to expend, an amount equal to or in excess of the average of the two fiscal years preceding the year of application for library resources. Under certain circumstances, a waiver may be granted from maintenance-of-effort requirements. In the case of Special Purpose grants, the matching share must be in addition to the base 2 year average for library resources institutional expenditures.

Closing date notices for Title II-A Basic Grants are announced annually in the FEDERAL REGISTER. The applications are reviewed for completeness, eligibility, adherence to maintenance of effort, matching requirements, and requests for waiver. All applicants whose eligibility status has not been determined are referred to the College Eligibility Section, Division of Eligibility and Agency Evaluation, Department of Education. Upon review and approval the applicants are placed on the funding list. Otherwise they are notified of rejection due to failure to meet the published criteria. Recipients of II-A awards are required to submit annual fiscal reports. The OE staff conducts on-site monitoring.

Program Scope:

Only basic grants have been awarded since Fiscal Year 1974. Basic grants of up to $5,000 must be awarded to all eligible institutions before other types of grants may be awarded. About $13 million would be needed in 1981 to fully fund basic grants.

In the early years of the program, annual appropriations of about $25,000,000 provided each applicant with a basic grant of $5,000 and also allowed substantial supplemental and special purpose grants. In FY 71 and 72 appropriations were reduced and priority was concentrated on the neediest institutions, on the basis of recommendations made by the staff and the Commissioner's Advisory Council on Library Training. This approach was predicated on data indicating that most junior colleges and many urban institutions were far below national standards. However, the Education Amendments of 1972 prescribed that the first priority was to award basic grants to all eligible institutions.

Fiscal year	Appropriation	# Of Awards	$ Grant
74	9,975,000	2,377	$ 4,235
75	9,975,000	2,569	3,918
76	9,975,000	2,560	3,930
77	9,975,000	2,600	3,855
78	9,975,000	2,568	3,906
79	9,975,000	2,538	3,963
80	4,988,000	2,604	1,900

In fiscal year 1980 2,604 basic grants averaging $1,900 were distributed for use between October 1, 1980 and September 30, 1981. Grants by type of institutions were:

	Estimated #
Colleges and Universities	1,375
Two year colleges including vocational and technical schools	1,200
Public and Non Profit Library Institutions	29

Since the inception of the program in 1966, approximately 2,300 institutions of higher education have participated annually, and 39,052 awards for basic, supplemental and special purpose grants totalling $190.38 million have been made.

Program Effectiveness and Progress:

At least 200 institutions improved their libraries sufficiently through this program to receive accreditation, mostly in the 1960's.

In the early 70's a study showed that many institutions gave priority to the utilization of II-A grants to purchase materials on urban studies, ethnic studies, and career education materials. It has been estimated that 75% of the funds were used for the acquisition of printed materials and 25% for non-print audio-visual materials.

During ED Field Visits, in past years, librarians have commented that the availability of any unrestricted funds, which are not part of any departmental book budget, helps them meet special book purchasing needs. In some cases librarians use the II-A funds to "match" funds of departmental requests to acquire special publications or materials not in the regular budget.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Studies:

Program operational data

For further information about program operations,

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For further information about studies of program effectiveness,

Contact: Arthur S. Kirschenbaum
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Program Name:

Library Career Training

Legislation:

Higher Education Act of 1965,
Title II-B

Expiration Date:

FY 1985

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$15,000,000	$ 1,000,000
	1967	15,000,000	3,750,000
	1968	15,000,000	8,250,000
	1969	11,800,000	8,250,000
	1970	28,000,000	4,000,000
	1971	38,000,000	3,900,000
	1972	12,000,000	2,000,000
	1973	(See HEA II-A	3,572,000
	1974	College Library	2,850,000
	1975	Resources	2,000,000
	1976	Authorization	500,000
	1977	Through 1980)	2,000,000
	1978		2,000,000
	1979		2,000,000
	1980		661,000
	1981	10,000,000 (Training & R&D)	778,000

Program Goals and Objectives:

The purpose of this program is to respond to the need for professional personnel and the shortage of paraprofessionals, focusing on the recruitment of minority groups, including women, to serve in all types of libraries. Another thrust is the retraining of professional librarians and allied personnel in new and developing areas (e.g., networking, service to special clientele, middle management, and media utilization) to make those in the field more responsive to user needs. The fellowship program is directed at upgrading the skills of minorities, including women, needed to assume high level positions in library supervision administration, and leadership, and to enable library schools to prepare librarians to provide more effective service to the unserved and disadvantaged.

Program Operations:

This is a discretionary grant program which provides assistance to non-profit institutions of higher education and library organizations and agencies for the purpose of training and retraining librarians and information scientists including paraprofessionals, for service in all types of libraries and information centers. Professional training is accomplished through short and long-term institutes, traineeships, and pre-and post-baccalaureate fellowships. In accordance with legislative mandate, 50 percent of all program funds are used to support academic fellowships and traineeships. Under the institute program, funds are used to reimburse the grantee institution for the direct costs of conducting the training project. A stipend may be paid to participants based upon the level of training, the length of the training program, and the amount of previous work experience or training of the participant. Under the fellowship program an institutional support payment is provided to an institution to assist in covering the cost of the training courses. Stipends paid to each fellowship recipient are based on the level of training and the amount of previous work experience or training of the individual. Under both programs dependency allowances may be paid to individuals for each eligible dependent. A traineeship grantee may choose either the fellowship or institute mode of reimbursement. Applications are submitted annually on a competitive basis. Final selection of grantees is made by authorized program officials following the evaluation of each application by an outside panel of experts, based upon published selection criteria. The program is administered through correspondence, telephone communication, attendance at professional meetings, and review of required fiscal, narrative,and evaluation reports. Site visits are made on a random basis to approximately 25 percent of the projects. Each project must contain provisions for an external and internal evaluation which ensures effective program assessment. These evaluation reports are carefully reviewed by program staff to determine if program objectives were accomplished. Grantees report their activities to the program office through required fiscal, narrative, and evaluation reports. All projects include a dissemination component which may include the production of films, film strips, and video tapes to be shared at professional conferences and meetings, and the submission of reports to ERIC and the professional literature.

Program Scope:

It is estimated that the fiscal year 1980 appropriation of $667,000 will support 32 fellowship grants in 20 States. The awards will support 72 master's, 5 post-master's, 17 doctoral, and

7 associate level fellowships. The cost per fellowship at the master's level is $6,600, at the doctoral level $8,300, and at the associates level $5,050. The average amount of a fellowship award is $21,000 with a range of $6,300 to $48,900. In 1980, it is estimated that over 65 percent of the fellowship awards made by grantee institutions will be to ethnic minorities.

Specific Aims of this Program are:

- Reform and revitalize traditional practice and curriculum.
- Design quality educational opportunities for educationally disadvantaged.
- Provide suppliers of improved information services to special target groups.
- Train personnel to improve administration of all types of libraries.
- Improve information access.

A fellowship program to train 10 Hispanic American librarians with special skills to serve the information needs of Spanish-speaking people is being conducted with FY 79 funds at Rutgers University. Other graduate library schools have introduced innovative curricula to prepare librarians to provide more effective information and library services to minorities, handicapped, and rural and urban populations.

Program Effectiveness and Progress:

No known or current data exist which address program effectiveness. This deficiency should be corrected by the planned study.

Ongoing and Planned Evaluation Studies:

An exploratory evaluation is planned for Fiscal Year 1981.

Sources of Evaluation Data:

Program files which contain narrative and fiscal reports, personal interviews, and professional literature.

Overview of the Library Fellowships Program, by the Bureau of Social Science Rsearch, Inc., of Washington, D.C. 1970.

Data Collection and Description of HEA Title II-B Institutes, by Rutgers, New Brunswick, New Jersey, 1972.

For further information about program operations,

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For further information about studies of program effectiveness,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Library Research and Demonstration

Legislation:

Higher Education Act of 1965,
Title II-B

Expiration Date:

FY 1985

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1967	(See HEA II-B Library Career Training authorization for FY 1967 through FY 1972)	$3,550,000
	1968		3,550,000
	1969		3,000,000
	1970		2,171,000
	1971		2,171,000
	1972		2,750,000
	1973	(See HEA II-A College Library Resources Authorization) for FY 1973 through FY 1980)	1,785,000
	1974		1,425,000
	1975		1,000,000
	1976		1,000,000
	1977		1,000,000
	1978		1,000,000
	1979		1,000,000
	1980		333,000
	1981	(See HEA II-B Training)	389,000

Program Goals and Objectives:

The purpose of the program is to provide support for research and demonstration projects for the improvement of libraries and training in librarianship. Funding priorities include: support of studies and demonstrations of improved library services, particularly to groups and persons with special information needs, institutional cooperation, improvement in library methods and procedures, and improvement of library education.

Program Operations:

OE makes discretionary grants and contracts to public and private organizations and agencies including institutions of higher education. In FY 80 proposals to the Department of Education will be submitted in response to a Request for Proposal (RFP) which is announced in the Commerce Business Daily.

The following are descriptions of areas funded under the demonstration program:

1. Institutional cooperation: cooperation among academic, public, and special libraries and among them and other institutions; e.g., museums, community colleges, etc.,

2. Improvement of library efficiency through improved software, hardware, and organizational methods in order to provide better user service.

3. Improvement of training in librarianship and in the new technologies.

4. Development of library service programs for special target groups (aging, poor, ethnic minority, rural, etc.) with emphasis on support for literacy education for these groups.

Program Scope:

With an appropriation of $333,000 in Fiscal Year 1980, this program plans to support three contracts. RFPs are being drafted to address the following areas: (1) Library Human Resources Study of Supply and Demand; (2) Library Research Needs for the 1980s; and (3) Citizens' Information Needs and the Role of Library Networks and Consortia. The Library Human Resources RFP is being co-funded by the National Center for Education Statistics.

- o Federal dollars appropriated since 1967 - $25,735,000
- o Number of projects assisted (1967-1980) - 309
- o Grants and contracts range from $28,000 - $233,000

Program Effectiveness and Progress:

- o Support has grown for the study of the information needs of special groups.
- o Support for studies showing the effectiveness of interlibrary cooperation has increased.
- o Literacy education through libraries has been supported recently.
- o Trend has developed toward funding contracts as opposed to grants.

Since 1967, nearly $26 million has been used for research and demonstrations to improve library services. Present program focus is to move away from technical research and move toward demonstrating patterns of interagency cooperation in providing better services to special groups.

A study of library cooperatives, networks, and demonstration projects was completed in April 1978, by Applied Management Sciences, Silver Spring, Md. It states "The HEA II-B Library Research and Demonstration Program has had a significant impact upon the library and information community merely by virtue of its existence. The Program has provided millions of dollars for innovative research and demonstration, where previously there were very few funds available. It is the only Federal Program that as part of its effort, supports a wide range of research to improve public library services. The Program has generated new knowledge about innovative approaches to networking, serving special target groups, utilizing community resources, and new technology. Several projects have been successful locally and a few have had national impact, such as the series of projects which contributed to the development and improvement of the Ohio College Library Center (OCLC).

"The Impact of the Program has been diffused through several major shortcomings: lack of a cohesive national plan for the direction of the Program, lack of adequate dissemination at the national level, and lack of other aspects of a linkage system that would propel the findings of this Program into practical applications on a wide scale. The Program has not realized its full potential. In order to be more successful, the Program needs to be more focused, more adequately funded, and given greater control over the grants process."

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

1. A Study of Library Cooperative, Networks and Demonstration Projects, by R. Patrick et. al., K. G. Saur, New York, 1980 (2 volumes).

2. Program Operational Data.

For further information about program operation,

Contact: Mr. Henry T. Drennan
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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Strengthening Research Library Resources

Legislation:	**Expiration Date:**
Higher Education Act of 1965, Title II, Part C	FY 1985

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	$10,000,000	-0-
	1978	15,000,000	$ 5,000,000
	1979	20,000,000	6,000,000
	1980	20,000,000	6,000,000
	1981	10,000,000	6,000,000

Program Goals and Objectives:

The legislation provides for grants to major research libraries for the purpose of promoting research and education of higher quality through the maintenance and strengthening of their collections and making their holdings available to individual researchers and scholars outside their primary clientele and to other libraries whose users have need for research materials. A major research library is defined as a public or private nonprofit institution including the library resources of an institution of higher education, an independent research library or a State or other public library having library collections which are available to qualified users and (1) makes a significant contribution to higher education and research; (2) are broadly based and are recognized as having national or international significance for scholarly research; (3) are of a unique nature and contain material not widely available; and (4) are in substantial demand by researchers and scholars not connected with that institution.

Program Operations:

Not more than 150 institutions may receive a grant under this program in a single fiscal year. No institution receiving a grant under this part may be eligible to receive a basic grant under Title II, Part A, of the Act in the same fiscal year. A reasonable effort will be made to achieve a regional balance in the allocation of funds. Each institution is limited to one application which may include more than one project. Funds provided may be used for the acquisition of books and other library materials; binding, repairing, and preserving books and other library materials; cataloging, abstracting, and making available guides of library collections; distributing materials and bibliographic information to users beyond primary clientele; acquisition of equipment, supplies, and communication expense; hiring necessary additional staff to carry out funded activities. This is a small discretionary grant program, with an annual competition involving the use of an outside review panel as well as staff review. Coordination with State library agencies is legislatively mandated, and monitoring is conducted through site visits, analysis of reports, professional meetings, etc.

Program Scope:

It is anticipated that 22 grants will be awarded in FY 1980. These should be awarded during the summer of 1980.

In FY 1979, 26 awards for 34 projects were funded. The grants range in size from $69,000 to $800,000. Each of the II-C Regions are represented on the award list. Fifteen of the projects are non-competing continuation projects designed to be carried out over a two to three year period. An additional 8 institutions will receive assistance under the awards as joint grantees. Of the 26 grantees, twenty are university 3 are independent research libraries, 2 are public libraries, and 1 is a State library.

Three main thrusts of the recommended projects are collection development, resource sharing capability, and preservation of materials.

Specific Methods to achieve program goals are:

- Acquisition of additional unique and specialized library materials.
- Increase the amount of interlibrary loan transactions.
- Preservation of rare and unique materials to permit utilization, duplication, and sharing.
- Initiation of specialized research projects.
- Initiation and development of networking activities.
- Promote inter-institutional cooperative activity.

In order to achieve maximum program impact, the Commissioner established the goal of awarding about 20 grants averaging at least $250,000 each. Cost-effectiveness was inherent in this goal so that larger amounts of grant funds to truly "major" research libraries would have a higher "pay-off" in terms of additional staffing, acquisitions, hardware, and other activities to promote and accelerate resource-sharing.

Program Effectiveness and Progress:

Data provided through interim program reports indicate that over 17,500 additional interlibrary loan transactions have, or will have, occurred in the 1979-80 academic year as a direct result of HEA II-C support. Such activity means that research and scholarship throughout the Nation will benefit substantially because of the provision of resources which otherwise would not have been available.

In order to make available rare and unique library materials which are unable to be loaned or duplicated because of severe deterioration, a substantial amount of grant funds have been, or are being, used for preservation projects. It is estimated that, in the first year of program operations (FY 78), over 20,000 items were preserved, so that they are now available either by interlibrary loan, duplication, or utilization on-site. In the past, these items have been totally unavailable. This same rate is continuing in FY 79.

As the library profession progresses toward the planning and implementation of a national network of bibliographic control, it is essential that the major research libraries of the Nation begin or accelerate computerized systems to feed into it. All of the 46 projects funded in FY 78 & 79 under HEA II-C are doing this in one form or another and are leading the way for countless other libraries to participate in such activities. A "spin-off" of this activity is the strengthening of regional networking activities, which are essential to the development of a national network. All of this means that thousands of properly cataloged library items are in the computer and bibliographically accessible to hundreds of libraries and thousands of scholars and researchers. This bibliographic data also contributes to the savings of many professional and nonprofessional man-hours to duplicate the basic cataloging, classifying, and indexing functions which would have to be performed locally without such a national data base.

Another cost-effective aspect of the program is the evolution of inter-institutional cooperation, particularly with regard to collection development and collection building. As the national data base is built and as specialized collections are developed and strengthened, libraries become aware of who has what and avoid duplicating those items which are prohibitively expensive and seldom in great demand and begin to develop cooperative programs of acquisition and sharing. Carried to its logical conclusion in subsequent years of program operation, Title II-C will therefore foster maximum efficiency in research library development, utilization, and activity.

Ongoing and Planned Evaluation Studies:

An exploratory evaluation of this program is planned for Fiscal Year 1981.

Sources of Evaluation Data:

Program Files

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Television and Radio Programming Support

Legislation:

Elementary and Secondary Education Act Title III Section 303 (as amended by P.L. 95-561)

Expiration Date:

FY 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION 1/
	1972	Indefinite	$ 7,000,000
	1973	Indefinite	6,000,000
	1974	Indefinite	3,000,000
			1,000,000 2/
	1975	Indefinite	7,000,000
	1976	Indefinite	7,000,000
	Transitional Quarter		1,600,000
	1977	Indefinite	7,000,000
	1978	Indefinite	5,000,000
	1979	Indefinite	6,000,000
	1980	Indefinite	6,000,000
	1981	Indefinite	6,000,000

Program Goals and Objectives:

The OE goal for this program is to carry out the development, production, evaluation, dissemination, and utilization of innovative educational television and radio programs designed (for broadcast and/or nonbroadcast uses) to help children, youth, and adults to learn. The legislative flexibility of this Act permits the Office of Education to initiate a direct Federal funding approach in educational television and radio programming broad enough to include a range of activities, from creative planning and development to production, distribution and utilization of programs which have clear potential for helping people to learn.

Program Operation:

OE administration of educational television and radio programming activity provided contract or grant support (contracts only from FY 1976 on) for television programming, including the planning, production, evaluation, dissemination, and utilization of programs such as Sesame Street and Footsteps. Utilization includes activities and print materials designed to enhance and

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1/ Funding from 1972 through 1975 under the Cooperative Research Act, Title IV (P.L. 83-531)

2/ Impounded funds released in FY 1974.

reinforce the effectiveness of programs as used in formal and informal educational settings, including the development and implementation of a series of strategies in specific community settings which marshall the concern of parents, teachers, and others for using television and radio as a positive educational force.

Program Scope:

In FY 1979, $3,250,000 was awarded to the Children's Television Workshop for partial support of the production of the 10th and 11th sessions of Sesame Street. A negotiated agreement was developed between the contractor and the Office of Education to phase-out Federal support of "Sesame Street" since the program is moving towards self-support. It is the intent of the Federal government to fund the 12th season at $2,000,000 and the 13th season at $1,000,000. This latter funding will include all cost incurred in cessation of direct Federal funding of the series. The agreement also details the relation between the contractor and the government with respect to Program Related Income which will continue for four years after the final contract.

The audience for "Sesame Street" is approximately 12,000,000 daily viewers. "The Electric Company" which is in reruns has a daily audience of about 6,000,000. The contract with CTW includes community extension services for both "Sesame Street" and "The Electric Company" and provides training for personnel working both in schools and in day care centers.

In FY 1979 $1,200,000 was transfered to the National Science Foundation for the support of the new elementary school science and environment series. This program, "3-2-1 Contact," begun broadcasting in January 1980. The program is designed to attract youth into science fields with special emphasis upon attracting minorities and women.

The critical television viewing skills projects are in Phase II which provides workshops for the training of teachers and parents in the use of television in the educational process. It provides guidelines for effective and critical development of this learning resource. The goals of these projects are to provide the basis for understanding television, what makes it work, and how each individual can use it more effectively. The curriculum materials being developed move from simple stories and games concerning television at the elementary level to more complex issues at the higher levels. At the high school and even middle school level, issues of scale in film and television production will be explored and simple experiments using 8 MM camera will be used to demonstrate special effects, i.e. Superman scaling mountains, animation, and other techniques. The post secondary level will deal with issues such as parents' role in guiding their children's use of television, as a political force, television's role in news, and the economics of television. Materials are being developed by each contractor for use by students, teachers, and families.

In FY 1979, a new series "Powerhouse", on health and nutrition was awarded to develop programs designed to emphasize the relation between nutrition and good health habits. This is directed towards eight to twelve year olds since there is evidence that health habits are likely to be formed during these years. $850,000 was awarded for the first phase of this production effort. $1,800,000 is appropriated for the second phase in FY 1980. It is anticipated that this series will be ready for broadcast in 1981 or 1982.

All materials in audio/visual format are still in high demand by public schools. The Dial A-l-c-o-h-o-l series is being used by local stations for broadcast with discussions of the issues developed in the series. Data are difficult to obtain on the exact number of the audience for these secondary showings since we have unlimited rights for recording all of our materials, with the exception of Sesame Street and The Electric Company. (new arrangements with Sesame Street allow for one year use of off-the-air recordings). Based upon utilization findings of loan and rental services it is estimated that Music...Is has at least 1,000,000 in school viewings, i.e., one child seeing one show in an audio/visual format. The figure may be double this since it is known that a number of schools have recorded the series and/or have bought the film version. These series are also being used by several State education departments.

Since January of 1978, all awards under this program have included a requirement for the encoding of "closed captions" for the hearing impaired. 3-2-1 Contact began its broadcast with this new system. Footsteps and Music...Is will be ready in the captioned version for their reruns in 1980. Sesame Street in Season 12 will be fully captioned. For Season 11 the Children's Television Workshop is working with the National Captioning Institute to determine the best format for captioning the Sesame Street programs. All programs aired in the future under this program will include the enclosed "closed captions". Since the captioned signal will be encoded on the master tape all programs duplicated for broadcast or cassette duplication will include closed captions.

In FY 1980, a new series will be funded that deals with adolescents and parents, their problems and family conflicts. Initial funding for radio production is slated for FY 1980. The radio program series will be designed around youth employment. Finally, $75,000 will fund a needs assessment to determine areas of future funding.

Program Effectiveness and Progress:

Over 94 percent of the public television stations with instructional programming broadcast Music...Is and Footsteps two to six times per week last broadcast season. Sesame Street and The Electric Company are seen in 43 countries around the world and The Electric Company is used for teaching English in foreign countries and in the United States as part of basic skills education programs.

In 1977, a national survey was conducted to assess the public's concerns about parent education and to assess the general issues and concerns for future educational television programming decisions. These data were used as guidance in the production of Footsteps. Data were collected in three ways: (1) five focus group interviews in five different cities; (2) interviews with 48 professionals whose viewpoint included observation of public trends in social sciences; and (3) a representative sampling of 1300 American households. Five topics emerged as common concerns of all groups. They were: (1) parent education, child development, and family life; (2) economic/vocational skills and attitudes; (3) health and nutrition; (4) interpersonal relationships; and (5) values and morality. In general, the groups had some reservations about the ability of current television programming to handle these topics, but expressed optimism about television's potential to address serious social concerns. Most respondents associated good programming with public broadcasting. The study also found that good programming must include massive promotional campaigns and positive images of different kinds of people in different kinds of situations.

The Footsteps Series has been:

- Adopted as a project for International Year Of The Child
- Recommended by the National Education Association
- Graded "A" by the National Congress of Parents and Teachers on their films report card (on a scale of A to F)
- Adopted by the General Federation of Women's Clubs as a part of their parent education project
- Adopted as an exemplary exhibit for the International Education Exposition in Geneva, Switzerland
- Adopted as a National 4-H Project for teenagers

Utilization and distribution of the Footsteps program have taken many forms. Having secured off-the-air recording rights, the Division of Educational Technology encourages long term use of the shows. The following are examples of such use:

- The higher education system in Indiana, broadcasts a call-in telephone panel show after each program showing, on public television. Continuing education and college credits are possible.

- Churches, PTA's, and day care centers in Kentucky are setting up viewing/discussion groups.

- The Appalachian Educational Satellite System will use the shows in 13 states and will encourage home viewing with the home viewer guide, health services utilization by medical personnel, and college credit.

- The Ontario Education Communications Authority is airing the series and will duplicate and distribute copies in Canada to public stations and educational requestors at cost.

- The National Audio Visual Center of GSA has videocassettes for sale and 16 mm films for sale and rental.

Ongoing and Planned Evaluation Studies:

A proposed exploratory study is planned for FY '80 to survey the use of the current television programming and supplemental materials in relation to the needs perceived by the users. In addition, programs and materials will be evaluated to determine if they are still valid and should remain in circulation.

Source of Evaluation Data:

1. Public Broadcasting Service carriage data, (to determine percentage of use on public television stations).

2. *The Federal Role in Funding Children's Television Programming,* by Keith Mielke, Barry Cole, Rolland C. Johnson, Indiana University 1975.

3. *Sesame Street Revisited,* by Thomas D. Cook, Hilary Appleton, Roos F. Conner, Ann Shaffer, Gary Tamkin, and Stephen J. Weber, Russell Sage Foundations, N.Y. 1975.

4. *An Assessment of Parent Education and General Needs for Educational Television,* Applied Management Sciences, Silver Spring, Md., 1977.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Basic Skills Improvement (Previously Right-To-Read and The National Reading Improvement Program)

Legislation:

Elementary and Secondary Education Act of 1965, Title II, as amended by P.L. 95-561 (Previously: National Reading Improvement Program, Title VII, P.L. 93-380, as amended by P.L. 94-194)

Expiration Date:

FY 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
Right-to-Read	1971	$ Indefinite	$ 2,000,000
"	1972	Indefinite	12,000,000
	1973	Indefinite	12,000,000
"	1974	Indefinite	12,000,000
"	1975	Indefinite	12,000,000
"	1976	118,800,000	23,800,000
"	1977	139,200,000	26,000,000
"	1978	144,200,000	27,000,000
"	1979	144,200,000	27,000,000
Basic Skills Imp.	1980		35,000,000
	1981		35,000,000

Program Goals and Objectives:

The Basic Skills program, initiated in fiscal year 1980, expanded the focus of the National Reading Improvement program to include mathematics and written and oral communication. The authorizing legislation for Basic Skills has three components. Part A contains an authority to fund demonstrations for the improvement of instruction in the basic skills for youth and adults and provisions for technical assistance and dissemination. Part A includes the use of technology in basic skills instruction. Part B contains authority for a State grant program designed to stimulate State education agencies to coordinate their resources in seeking improved ways to teach the basic skills and to provide the needed leadership to bring about these changes. Part C contains authority for special programs to improve the basic skills (the Inexpensive Book Distribution program and the Special Mathematics program). The program legislation stipulates that Part A must be funded at no more or less than $20 million before funds may be used for Part B, the focal point of the basic skills effort. As a result, any funding growth in the program must be in the State program (Part B) or the Special program (Part C).

The program focus of this legislation is not to provide a new add-on program at the State or local level but rather to maximize the effectiveness of the assistance already being provided by stimulating the:

(a) Development of comprehensive State plans to improve the delivery of basic skills instruction for the children, youth and adults of the State; and

(b) coordination and orchestration of Federal and State programs to avoid conflict, unnecessary overlap, duplication, fragmentation in basic skills improvement efforts, creating a synergistic approach to basic skills improvement at the State and local levels.

Program Operation

The Basic Skills Improvement Program, launched October 1979 as the successor effort to The National Reading Improvement Program, includes the followed planned components and ongoing and completed activities during the Right-to-Read phase:

Initial efforts in the Basic Skills Improvement area are expected to focus on:

1. Coordination activities involving Basic Skills - related programs at the Federal level.

2. Similar coordination needs for Basic Skills at State and local levels.

3. The desirable interrleationships to forge productive coordination patterns at all three levels (Federal, State, and local) and the necessary agreements and organizational arrangements that will sustain those desired patterns.

4. Conceptual and cognitive research to define and assess the potentials and limit of a National Basic Skills Improvement Program; the role of other participant factors in such programmatic efforts (communities, local agencies, parents, etc.).

The following are the specific component activities for which funding is requested under this program:

Part A (National) Activities

1. Technical Assistance. To assist State and local education agency personnel in carrying out effective basic skills programs, regional basic skills teams provide comprehensive technical assistance.

2. Instruction in Basic Skills. To improve basic skills competencies at the school level, funds are used for school-wide basic skills activities in reading, math and communication skills. These include diagnostic assessment of student needs, development of basic skills learning objectives, and implementation of basic skills programs to meet those objectives.

3. Parental Involvement in Basic Skills. This component supports the development and dissemination of informational materials and the training of parents to stimulate them to assist their children in improving basic skills.

4. Use of Technology in Basic Skills Instruction. Audio and video instructional materials will be developed and made available for students and teachers to expand the variety and improve the quality of basic skills instruction.

5. Involvement of Educational Agencies and Private Organizations. This component authorizes the funding of voluntary tutorial programs for children and adults outside the school setting to motivate them to improve their reading and math skills.

6. Collection and Dissemination of Information Relating to Basic Skills Programs. To assist teachers and LEA personnel, these funds will be used for studies and dissemination of information about materials, processes, practices, procedures and programs that have been successful in improving the achievement of students in the basic skills.

7. Coordination. Support for this component, which began in 1981, is sought to continue a clearinghouse and technical assistance acitivity to help coordinate the various Federal offices and federally-funded projects promoting basic skills improvement.

Part B (State Activities)

To develop and implement agreements for statewide basic skills programs and to carry out leadership and trainikng activities, funds are requested to implement the State basic skills improvement program. Funds provided under this part would be divided equally between sections 222 and 224, with each State receiving a minimum of $50,000 under each section and the remainder being distributed to the States on the basis of its school-age population (five to seventeen years).

1. Agreements with State Educational Agencies (Section 222). Funds distributed to States under this section will be used primarily to award small grants to their local school districts to carry out activities stipulated in the comprehensive basic skills program developed by each State. Specific activities to be carried out will differ for each State, not only on the basis of a needs assessment done by the individual State, but on the basis of need as determined, in turn, by each local educational agency.

2. State Leadership Program (Section 224). The major objective of this activity is for the States to provide for developmental training and technical assistance activities for teachers and other school personnel. Other authorized activities include statewide assessment of student and teacher needs relating to overall skills imrovement, and major planning and strategy development activities.

Part C (Special Activites)

1. Inexpensive Book Distribution Program. To provide motivation to children to learn to read, this component supports the distribution of inexpensive books to students, supporting 75 percent of the cost of purchasing the books. (Books distributed to children of migrant and seasonal farmworkers, however, are totally supported by Federal funds.)

2. Special Mathematics Program. To improve mastery of mathematics skills, this component provides for the teaching of standard mathematics to eligible children through instruction in advanced mathematics by qualified instructors.

Program Scope:

The FY 80 appropriation for Basic Skills Improvement of $35 million represents an $8 million increase over the FY 79 level of $27 million for the final year of Right-to-Read.

Basic Skills Programs

Part A	(Subtotal)	$20,000,000
Technical Assistance		2,000,000
Instruction in Basic Skills		7,500,000
Parental Involvement		1,400,000
Use of Technology		2,000,000
Involvement of Educational Agencies and Private Organizations		5,800,000
Collection and Dissemination of Information		1,000,000
Coordination		500,000
Part B	(Subtotal)	$ 7,750,000
State Basic Skills		7,750,000
Part C	(Subtotal)	$ 7,250,000
Inexpensive Book Distribution Program		6,500,000
Special Mathematics Program		750,000
	Total	$35,000,000

1. Evaluation of School-Based Right-To-Read Sites (October 1973).

The main purpose of this study was to establish whether school-based Right-To-Read projects have met their criterion of one month gain in reading achievement for each month of reading instruction. To test this, data were gathered from a sample of school-based projects located in a senior high school, junior high schools, nd several elementary schools.

Twenty-eight of the 44 school-based projects met or exceeded the Right-To-Read criterion of satisfactory reading progress of one month gain in reading achievement for each month of reading instruction. Sixteen projects failed to achieve this objective, but some of this apparent failure may be attributable to inadequacies in local evaluation procedures, such as failure to obtain pre- and post-test data on the same students and the use of different reading tests when pre- and post-measures were taken.

The analysis of overall grade level gains indicates that upper grades (7-9) did not show reading gains to the same extent as did elementary grades. It may be that factors accounting for reading gains at elementary grade levels are not as effective at upper levels.

The findings showed a lack of programs being implemented at the first grade level. Since much reading activity takes place in the first grade, projects funded under Part A, Title VII, should place emphasis on the establishment of reading programs in the first grade.

Emphasis should be placed on classrooms that involve single grade levels only. The data suggest that where more than one grade level was included under a single teacher in a single classroom, learning did not take place to the same degree as in single grade level classes.

2. An Evaluation of the Community-Based Right-To-Read Program (September 1974).

The purpose of this study was to evaluate a sample of 24 Community-Based Right-To-Read Projects drawn from a group of 73 funded projects and including those that served "in school" youth (school projects) and "out of school" adults (adult projects). Evaluation objectives were: (1) to measure the improvement in reading achievement, and (2) to analyze the relationships between achievement and program, staff, and student characteristics. Data used to evaluate these objectives were collected on-site through pre- and post-tests and various survey, interview, and observation instruments.

The findings from analyses of student projects indicated that, overall, students gained significantly in reading skills during the 5-month pre/post test period. The greatest gain was achieved by students in classroom projects operating within the regular school context, as opposed to those operating outside of school or outside of school hours. While significant differences were found among the individual projects, no consistent differences were found to relate to specific programmatic features. The findings from analyses of adult projects indicated many of the same relationships.

In attempting to determine specific project characteristics that are associated with reading gains, very few definitive conclusions were reached. No significant differences were found among adult projects by type of service delivery system. English as a Second Language classes, paid tutoring projects, and volunteer tutoring projects are all able to provide effective instruction. In regard to the retention and attendance of participants in adult projects it was found that: (1) nonattendance was the primary reason for termination; and (2) regular attendance was positively related to gains in reading achievement.

These outcomes suggest that in the Reading Academies funded under Title VII: (1) considerable flexibility in determining the appropriate instructional strategy or system can be encouraged and (2) attendance schedules could be developed that will optimize the hours of instruction in terms of participants' available time.

Finally, in regard to project costs, the study revealed that adult projects had widely varying costs per student and costs per instructional hour ratios with no apparent direct relationship between cost and reading gain. It seems reasonable to suggest that guidelines or ranges of cost per student and cost per instructional hour ratios be established for planning purposes so that Academies will have standards for efficient budgeting.

3. Assessment of the State Agency Component of the Right-to-Read Program (June 1976).

In this study, Applied Management Sciences investigated the various activities and processes of State Agency Right-To-Read Programs, in order to determine what effect programs have had at the State educational agency and local educational agency level in the 31 States which entered the Right-To-Read Program during either 1972-73 (Phase I) or 1973-74 (Phase II of this effort). Data were collected in visits to the 31 State departments of education, three local educational agencies randomly selected from those LEA's in the State that had participated in the Right-To-Read Program for at least one year, and a mail survey of a 50 percent sample of LEA Right-To-Read Directors within each State whose programs had been affiliated with Right-To-Read for at least one year. In addition, case studies were developed which describe how these programs operate in these 31 States.

The results of this study can be summarized in one statement: the approach taken by Federal administrators responsible for the State component of the Right-To-Read Program appears to have been successful in that the programs have achieved meaningful effects utilizing a relatively modest amount of money. Because of the similarity of data obtained across the 31 States, it may be concluded that, for the most part, the States have adopted the 16 national objectives as a viable strategy and have implemented them and their underlying activities in the same manner across the 31 States. Thus, the training and support activities provided by National Right-To-Read, and the comparatively little money provided to the States, have provided substantial impetus in developing viable State strategies in reading.

A number of outcomes from this study, identified below, support this conclusion. It should be noted that none of these outcomes relates directly to reading achievement on the part of students. This study was designed solely to assess the type and level of activities which have been fostered by the State component of Right-To-Read funding.

- State Right-To-Read Programs have made considerable efforts to involve large numbers of local districts in Right-To-Read.
- Training of teachers and LEA coordinators has been a major focus in the State Right-To-Read Programs.
- Data indicated that Right-To-Read will continue in many States even in the absence of Federal funds.

- Reading has been established as a top priority in State education agencies and in local education agencies.

The results of this study also indicated that there are several areas of the Right-To-Read Program in which improvement is needed. The findings which suggest areas of need for improvement are summarized below:

- Local district Right-To-Read programs showed local district directors desired changes in technical assistance delivery. While the directors' initial orientation to Right-to-Read was effective, current technical assistance does not meet their present needs.

- Coordination of Right-To-Read with Adult Basic Education was found lacking in local districts, but adequate at the State level.

- To maximize effectiveness of the Right-To-Read Program, more effective communication links need to be established between the SEA component of Right-To-Read and LEA classroom teachers. Responses to questions addressed to LEA teachers and administrators as well as to SEA personnel led to this conclusion.

- The State Right-To-Read Task Force, set up by Right-To-Read Program regulations, appeared to be functioning at a minimum level in many States. Supposedly designed to serve as a coordinating unit for reading activities stemming from other SEA programs, data indicated that the State Right-To-Read Director and the State Assistant Superintendent for Instruction were performing coordinating activities, rather than the Task Force.

- Though it is a stated responsibility for State Right-To-Read Advisory Councils, these bodies were not effective in dissemination activities or in winning public support.

- Distribution of Right-To-Read services to local districts was not in agreement with national guidelines. The national guidelines specify selection of local districts for participation in Right-To-Read on the basis of geographic representation, student population, and needs assessment. However, the major criterion used to select almost two-thirds of the local districts for participation was their willingness to comply with the terms of the agreement/contract and enter the Right-To-Read Program.

Program evaluation by SEA's was not linked to the timely accomplishment of objectives. SEA's did not emphasize assessing accomplishment of local district objectives according to a planned schedule. This must be considered a severe program weakness.

4. Evaluation of the Right-to-Read Special Emphasis Projects (First and Second Years Evaluations) (April 1978 and December 1978).

The purpose of this study is to evaluate the effectivness of seven Special Emphasis Projects as defined in Public Law 93-380, Section 721, and amended by Public Law 94-194, Section 10. Special Emphasis Projects were authorized under this legislation to determine, over a three-year period, if the use of reading specialists, reading teachers, and intensive summer reading programs would impact on children's ability to learn to read.

The legislation called for a demonstration project including:

1. The teaching of reading by reading specialists for all children in grades one and two.

2. The teaching of reading by reading specialists for children in grades three through six who are experiencing reading problems.

3. The determination of the effectiveness of intensive instruction by reading specialists.

4. The provision of a vacation reading program.

5. Authorization for the Commissioner to contract with local education agencies.

Accordingly, local districts which wished to participate were required to assure that:

- All first and second graders in the experimental school would receive intensive reading instruction;

- All students in grades three through six in the experimental school who had reading problems would be given intensive instruction in reading;

- An intensive summer program would be available for the project school students who were performing below grade level, and this service would not be available to the control school children;

- They would cooperate with an external evaluation to be conducted by the Commissioner or his/her contractor; and

- The instructional plan would be formulated through consultations with many parties, including the district administration, parents, and faculty of the project school, and that this plan would include a diagnostic/prescriptive approach and be part of a comprehensive reading program in the project school.

Overall, the regulations were comprehensive and responsive to the legislation and the original intent of its sponsors. However, the combined effect of the legislation and the regulations had precluded conducting a rigorously controlled experiment. Some of the factors involved have been:

- The diversity of instructional approaches and the use of mediated reading systems at some sites (e.g. DISTAR, Precision Teaching System).

- Use of prior-assigned reading specialists at some control school sites.

- Supplemental funding and resources available to control sites from non-NRIP sources, such as Title I.

- Use of teacher aides at both experimental and control sites.

- The use of assistance contracts (rather than procurement contracts) minimized the level of programmatic control that USOE could exercise.

The first year's interim report emphasized the inconclusive nature of the longitudinal study thus far, primarily because of severe delays in funding and startup, which had resulted in an effective net implementation of only one semester, instead of a full year. Combined with the acknowledged large range of the standard error in the key test instrument (Stanford Diagnostic Reading Test), any conclusive assessment would be unwarranted until later test results are processed and analyzed. With these significant caveats in mind, it has been observed that those sites with some apparent reading achievement gains among the experimental population (compared to the control school's gains) were those sites that responded rapidly in the first year in establishing a cooperative rapport among the teaching staff to implement the Special Emphasis program. The day-to-day involvement of the site project director was seen as a major element in the successful functioning of the first year's activity at some sites.

Improvement was noted in several areas of the continuing study:

- More aggressive monitoring of all sites to ensure compliance to the legislation and regulations.
- On-site project management must be more responsive to existing and potential conflict situations among the staff.
- The site project director must be at the experimental schools a minimum of half-time.
- Enrollment at the summer school programs must be increased.
- Summer school minimal standards are needed.

The second annual report recorded the events transpiring between April 1978 (the contractual transfer of the study to a new contractor) and December 1978. This was a period of intensified project control and monitoring by the new study team, more intensive classroom and teacher observation and the collection of new student data which transferred the study's data base into a student-oriented mode (from the earlier classroom-aggregated mode). The final report, planned for March 1980, will provide a full and final assessment of the three year longitudinal study, with a dual focus on process characteristics and impact factors and measures.

Ongoing and Planned Evaluation Studies:

The Basic Skills Improvement Program plans a continuous evaluation study throughout its four years of authorized legislation. During the first year the BSIP in cooperation with the Office of Planning and Evaluation has issued a contract to perform the following tasks:

1. Develop a description model of Part A projects which include in-school, out-of-school and parent participation programs. Data gathered will be analyzed to determine whether or not the Basic Skills Program is meeting legislated goals.

2. Develop a predictive model of success and apply it to 25 Part A projects. Data gathered under this model will be analyzed to determine which components of a project contribute to project success.

3. Carry out seven case studies on seven selected Part B, State Basic Skills Projects.

In addition, the BSIP has arranged through a contract to have agencywide materials (basic skills products) evaluated for their marketability by a select group of educators and publishers. Those materials that are judged of high quality will be disseminated nationally through publishing houses. This is also a planned four-year effort.

Sources of Evaluation Data:

1. The Information Base for Reading, 1971.
2. Evaluation of School-Based Right-To-Read Sites, Contemporary Research, Inc., Los Angeles, CA, October 1973.
3. Evaluation of Sampled Community-Based Right-To-Read Projects; Pacific Training and Technical Assistance Corporation, Berkeley, CA, September 1974.
4. Briefing Package for the ASE Management Conference, October 23, 1974.
5. Assessment of the State Agency Component of Right-to-Read, Applied Management Sciences, Silver Spring, MD, June 1976.
6. Study of the Information Requirements of the National Reading Improvement Program, Applied Management Sciences, Silver Spring, MD, July 1976.

7. *First Year Evaluation of the Right-to-Read Special Emphasis Projects*, Applied Management Sciences, Silver Spring, MD, April 1978.

8. *Second Annual Report, Evaluation of the Right-to-Read Special Emphasis Projects*, General Research Corporation, McLean, Va., December 1978.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Alcohol and Drug Abuse Education

Legislation:

The Alcohol and Drug Abuse Education Act of 1974 and Amendments of 1978. P.L. 95-336

Expiration Date:

September 30, 1981

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1971	$ 10,000,000	$ 5,610,000
	1972	20,000,000	12,400,000
	1973	28,000,000	12,400,000
	1974	28,000,000	6,700,000
	1975	26,000,000	4,000,000
	1976	30,000,000	2,000,000
	1977	34,000,000	2,000,000
	1978	34,000,000	2,000,000
	1979	10,000,000	2,000,000 1/
	1980	14,000,000	3,000,000
	1981	18,000,000	3,000,000

Program Goals and Objectives:

The principal purpose of the program as defined by the authorizing Act is to help schools and communities assess and respond to alcohol and drug abuse by becoming aware of the complex nature of the problems, and to prepare them for developing strategies aimed at its causes rather than merely its symptoms. The program strongly encourages a coordinated school-community effort in preventive education with an emphasis on reducing the socially disruptive behaviors often associated with abuse.

In addition to the goals and objectives specified in the legislation, the following statement of goals further specifies the program's purpose: Goal 1 -- to identify, demonstrate, evaluate, and disseminate effective strategies (including curricula) for alcohol and drug abuse prevention, and Goal 2 -- to train teams of teachers, counselors, parents, students, law enforcement officials and other public service and community leaders to prevent destructive behavior associated with alcohol and drug abuse by promoting growth and development. The program is, therefore, primarily a training and demonstration program, through which local agencies provide direct services to youth.

1/ Same funding level as 1978, according to Continuing Resolution, P.L. 95-482.

Program Operations:

This program is authorized to make grants and contracts for a wide variety of activities which can be generally categorized as preventive education. Currently, the bulk ($2,680,000) of program funds supports five regional training resource centers. The remaining funds support a National Data Base and Program Support project and an evaluation of the program.

Through the regional training centers, the program is implementing a strategy which it describes as "teams teaching teams." It is hoped that the strategy will achieve a multiplier effect through a two-step process: (1) Teams are trained in "clusters" rather than in geographically unrelated groups. (A geographically related cluster is comprised of a team from a high school joined with teams representing the elementary, middle, and/or junior high schools feeding into that high school.) (2) Then, the most impressive trainees in these clusters become, through further training and one year of on-site technical assistance, new trainers for other schools and groups of schools in their district or community, while continuing to receive some technical assistance from the Federal program.

Program Scope:

In recent years the program has restricted its support primarily to training, technical assistance, and dissemination through the five regional centers. In FY 81 the program is planning to continue a contract to provide technical assistance to SEAs and to coordinate the activities of a number of State agencies concerned with primary prevention.

Program Effectiveness and Progress:

Two studies funded by the program found that (a) trainees felt their training was effective, (b) that one-half to two-thirds of the teams were still functioning a year or two after training, (c) that the majority (about 80 percent) of the teams were performing activities which they had been trained to perform, and (d) in the judgment of the evaluators, these activities were effective. There has been no definitive evaluation of impact on student behavior at this time.

Ongoing and Planned Evaluation Studies:

A systematic evaluation of this program was initiated in FY 79 with results anticipated in February 1981.

Sources of Evaluation Data:

Primary Sources

"Universe Survey of FY 1974 HCHT Teams," E.H. White and Co., San Francisco, September 1975.

"An Evaluation of the School Team Approach for Drug Abuse Prevention and Early Intervention," American Institutes for Research, Washington, D.C., 1976.

House of Representatives Report No. 95-884, February 16, 1978.

For further information about program operations,

Contact: Helen Nowlis
(202) 245-7292

For further information about program evaluation,

Contact: Robert J. Maroney
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Environmental Education

Legislation:

Environmental Education Act of 1970 (P.L. 91-516); Extended by P.L. 93-278: Reauthorized as Part H, Title III, Elementary and Secondary Education Act (P.L. 95-561)

Expiration Date:

September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1971	$ 5,000,000	$ 2,000,000
	1972	15,000,000	3,514,000
	1973	25,000,000	3,180,000
	1974	25,000,000	2,000,000
	1975	5,000,000	1,900,000
	1976	10,000,000	3,000,000
	1977	15,000,000	3,500,000
	1978	15,000,000	3,500,000
	1979	5,000,000	3,500,000
	1980	7,000,000	-0-
	1981	9,000,000	-

Program Goals and Objectives:

The purpose of the program is to help improve the education system's ability to:

(1) improve public understanding of our environment as an interactive, interdependent whole that defines the quality of life; and

(2) improve the ability of citizens to meaningfully participate in decision-making on complex ecological problems.

To achieve this purpose the program assists:

(1) development of effective interdisciplinary educational resources and processes,

(2) preparation of education personnel to use new materials and methods; and

(3) implementation of comprehensive interdisciplinary education programs.

Program Operations:

The Environmental Education Program provides general leadership, technical guidance, and financial support to organizations, agencies and institutions planning or conducting projects. The program awards discretionary grants and contracts for developmental activities. Contracts are awarded for special R & D work to meet specific needs of the field as a whole.

The primary thrust of the program has been that of:
(1) Planning and assessment--identify needs of the field and determine options for meeting needs;
(2) Research and development--which needs are met and new information concerning requirements for environmental education;
(3) Implementation support--conducting comprehensive interdisciplinary programs;
(4) Demonstration--dissemination of successful implementation activities; and
(5) Institutionalization--achieve local adoption.

Emphasis has been placed on development of conceptual frameworks, generic models, and basic resource material that can facilitate efforts to design learning resources that meet environmental education content requirements, and on development of methods, processes and approaches that can facilitate planning and implementation of comprehensive programs.

Program Scope

Program activities have been focused on:
-Monitoring approximately 70 projects supported with program funds;
-Assessment of products from completed projects to determine if they can be used for general dissemination or for inclusion in either the technical assistance manual or practice file being developed;
-Technical assistance to the field in planning and implementing comprehensive programs; and
-Sharing resources with other Federal programs and agencies to assist their education development and improvement efforts.

Program Effectiveness and Progress

No evaluation on this program has been conducted.

Ongoing and Planned Evaluation Studies

None planned at this time.

Source of Evaluation Data

OEE Program Data

For further information about program operation,

Contact: Walter Bogan
(202) 245-9231

For further information about program effectiveness,

Contact: Robert J. Maroney
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Revision of Impacted Areas Program as it Relates to Indian Children (Payments to LEAs for Indian Education)

Legislation	Expiration Date
Indian Education Act P.L. 92-318, Title IV, Part A	Sept. 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	FY 73	$196,177,204	$ 11,500,000
	FY 74	208,000,000	25,000,000
	FY 75	235,000,000	25,000,000
	FY 76	441,242,000	35,000,000
	FY 77	476,263,078	37,000,000
	FY 78	555,000,000	38,850,000
	FY 79	640,997,800	48,000,000
	FY 80	640,297,800	52,000,000
	FY 81	722,214,792	58,250,000

Program Goals and Objectives

Part A of the Indian Education Act provides financial assistance on an entitlement basis to local educational agencies (LEAs) for elementary and secondary education programs to meet the special educational and culturally related academic needs of Indian children. In addition, a separate authority in the Act allots an amount equal to not more than 10 percent of the amount appropriated for LEAs for discretionary grants to Indian controlled schools located on or near reservations.

The purpose of the entitlement program is to provide grants to local school systems for (1) planning and other steps leading to the development of programs specifically designed to meet the special educational and culturally related academic needs of Indian children, including pilot projects designed to test the effectiveness of these programs; and (2) the establishment, maintenance, and operation of programs, including minor remodeling of classroom or other space used specifically for such programs, and acquisition of necessary equipment specially designed to meet the special educational or culturally related academic needs of Indian children.

The immediate program goal is to fund the development of special instructional educational programs and projects geared to the needs of Indian children. The long-range program goal is to supplement per pupil expenditures in the amount of $300 by FY 84, for approximately 331,000 Indian children enrolled in eligible LEAs. Funds from these grants are used to provide cultural enrichment programs, including language instruction; culturally-related instruction in reading and math; accelerated courses; and supportive services, including home-school liaison and counseling and guidance services.

Under the discretionary program awards are made to Indian controlled schools to establish such schools or to provide supplementary programs and encrichment services.

Program Operations

Under Part A of the Act, entitlements or formula grants are made directly to eligible local education agencies (LEAs) and a few schools that are operated by Indian tribes under contract with the Bureau of Indian Affairs. Financial assistance, through competitive discretionary awards, is also given to Indian controlled schools on or near reservations.

Program Scope

Data from the 1980 Indian enrollment/entitlement computation indicated 2,982 local educational agencies and tribal schools would be eligible to receive Part A entitlement grants. During Fiscal Year 80, 1,158 eligible agencies applied for funds to plan, develop, and/or operate programs designed to meet the special educational needs of Indian children. (During FY 80, approximately 328,407 children were enrolled in 1,135 LEAs receiving Part A grants). These grants average approximately $144 per child. Under the discretionary program, 47 applications were received and 32 awards were made to Indian controlled schools.

Projects funded under this part of the Act range from part-time ancillary services to supplementation of basic education and cultural enrichment programs. Activities are determined by the LEAs and elected Indian parent committees based on needs and population concentration. To ensure that program funds are addressing the special educational needs of Indian children as specified in the legislation, a technical and quality review of applications for entitlement and discretionary programs is conducted by the Office of Indian Education. During the period of project performance, as program administration resources permit, site visits are made to selected project sites and technical assistance is offered to projects requesting it.

Program Effectiveness and Progress

A national descriptive study of projects funded under Part A was completed in November, 1978.

This study was performed by Communication Technology Corporation of Marlton, New Jersey under contract (300-76-0397) to the U.S. Office of Education's Office of Evalution and Dissemination. The principal findings of the study are as follows:

- The national program can be described as a collection of projects of widely divergent size, geographic locale, and goals. Sixty-two percent of the projects emphasize instruction in culture, heritage and native language. Emphasis upon remedial reading was found in 58 percent of the projects. The next three most frequently stated objectives were: (1) counseling and guidance (56%); (2) enhancing self-concept (54%); and (3) changing attitudes toward school (51%). Other predominant objectives were to increase school attendance (47%); to enhance self-direction and a sense of responsibility (46%); and remedial mathematics (46%). Most of the objectives seem to be evenly distributed across the urban - rural spectrum.

- Reading programs, mathematics programs, cultural heritage programs, and counseling and guidance programs were perhaps not surprisingly rated effective by project directors and project staff in approximately 90 percent of the sampled districts in: (1) overcoming Indian students' academic difficulties; (2) improving Indian students' attitudes toward school; and (3) developing more favorable self-concepts in Indian students.

- Factors, reported by school districts, as contributing to educational problems of Indian children in order of frequency reported were: (1) adverse home environment (74%); (2) lack of motivation (69%); (3) deficient early education (69%); (4) negative peer group influence (64%); (5) nutritional problems (50%); (6) ethnic discrimination (48.8); and (7) health problems (45%).

- Seventy-five percent of project funds at the local level was directed toward staffing. This was an expected finding since this same percentage of projects are more than one year old and do not have the higher expenditures of a new project for materials, etc.

- Staff involvement, which was much more prevalent in urban high density districts (above 20,000) than in rural high and low density districts, was concentrated in reading, mathematics, native language and cultural heritage, counseling and guidance, attendance, self-concept, responsibility and self-direction, and attitude toward school.

- Generally, the parent committees were involved in a wide range of policy and managerial activities: staffing recommendations, public relations, proposal development, budget review, conduct of needs assessment, proposal review and final report review, curriculum decisions, pupil selection, establishment of project objectives, project monitoring, project evaluations, and final report development.

- The parent committees were generally not involved in assisting with instructional activities. More than 70 percent of the districts used the parent committee in proposal development. Also, roughly half of the districts reported parent committee involvement in selection of pupils.

- Projects in which parent organizations were involved were rated effective in helping Native American pupils to overcome academic difficulties, improve their attitude toward schools, and develop a favorable self-concept. The majority of parent committee involvement was in the areas of providing staffing recommendations, proposal review and development, budget review, needs assessment, establishment of objectives, project monitoring and evaluation, and final report preparation.

- Projects in urban districts tended to be rated more effective in overcoming academic difficulties and providing supplementary services. This may be partially attributable to the organized approach taken toward the administration of funds and the sophistication of the staff. Staff time spent on projects is somewhat greater in urban districts than in rural districts.

- Rural high density districts were rated the next most effective in overcoming academic difficulties and providing supplementary services. This may be due to the larger number of children available for project enrollment and the resulting higher funding level.

- The staff and parents rated 75 percent of the districts as being at least moderately effective in overcoming academic difficulties, providing supplementary services, improving attitudes toward school and developing a more favorable self-concept. Also, 50 percent of projects were rated effective by the staff and parents in improving staff attitudes toward Native American pupils and improving non-Native American pupil attitudes toward Native American pupils.

- The data analyzed revealed that, in the vast majority of the districts, there were staff involvement and program improvements in the areas of academic achievement, Native-American language and cultural heritage, counseling and guidance, attendance, self-concepts, responsibility and self-direction, and in attitudes toward school.

Ongoing and Planned Evaluation Studies

A major study to evaluate the impact of the Part A Entitlement Program was started in 1980.

Sources of Evaluation Data

A National Evaluation Survey of Projects Funded Under Title IV, Part A of the Indian Education Act of 1972. (Contract #300-76-0397, November, 1978).

For further information about program operation,

Contact: Ms. Patricia Matthews
(202) 245-2683

For further information about studies of program effectiveness,

Contact: Ms. Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Programs and Projects to Improve Educational Opportunities for Indian Students

Legislation	Expiration Date
Indian Education Act P.L. 92-318, Title IV Part B	Sept. 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	FY 73	$ 25,000,000	$ 5,000,000
	FY 74	35,000,000	12,000,000
	FY 75	35,000,000 1/	12,000,000
	FY 76	35,000,000 1/	16,000,000
	FY 77	37,000,000 1/	14,080,000
	FY 78	37,000,000 1/	14,400,000
	FY 79	45,000,000 1/	15,500,000
	FY 80	45,000,000 1/	15,600,000
	FY 81	45,000,000 1/	14,500,000

Program Goals and Objectives

The law indicates that its purpose is to authorize discretionary grants to Indian tribes and organizations, State and local educational agencies, and institutions of higher education for use in special programs and projects to improve educational opportunities for Indian children. These include (1) planning, pilot, and demonstration projects designed to test and demonstrate the effectiveness of programs for improving educational opportunities for Indian children, such as bilingual/bicultural educational programs and programs dealing with special health, social, and psychological problems of Indian children; (2) establishment and operation of programs designed to stimulate the provision of educational services not available to Indian children in sufficient quantity or quality; (3) preservice and inservice training programs to improve the qaulifications of persons serving Indian children, such as teachers, teacher aides, social workers, and

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1/ In addition to the authorized amount, up to 200 fellowships can be awarded. See program scope section for actual awards and areas of fellowship awards.

other educational personnel; (4) establishing resource and evaluation centers designed to provide specialized technical services to grantees, evaluate the effectiveness of programs, and disseminate information on successful practices, and (5) national dissemination of information concerning education programs and services available to Indian children and evaluation of the effectiveness of federally assisted programs in which Indian children participate.

Long-range program goals of Part B are to improve educational opportunities for Indian students from preschool through the university level by supporting programs that:

(a) Provide improved educational services
(b) Increase the number of Indians in leadership positions
(c) Develop new educational approaches of high quality
(d) Contribute to increased control by Indians over the availability and quality of their own education.

Immediate goals of the Part B program are:

(a) Fund demonstration and service projects in areas identified as priority by the Indian community, such as early childhood education and special education.

(b) Support technical assistance efforts on a limited scale, to test feasibility of a large, national approach covering all States.

(c) Continue to provide educational personnel training and fellowships in designated professional fields to improve qualifications of Indians and develop leaders in the Indian community.

Program Operations

Grant awards for demonstration, service, and education personnel training; fellowship awards to graduate and undergraduate Indian students in selected professional degree areas; and contracts for the regional information centers are made on the basis of national competition. Eligible applicants for the demonstration program include State and local education agencies, federally supported schools for Indian children, and Indian tribes, organizations, and institutions. Eligible applicants for service projects include State and local educational agencies and tribal and Indian community organizations. Eligible applicants for educational personnel training projects authorized under Section 422(a) are Indian tribes and organizations and institutions of higher education.

In approving applications under Part B, preference is given to Indian tribes, organizations, and institutions, as required by law. Actual implementation of this provision has resulted in no awards being given to other types of organizations, with the exception of higher education institutions applying for Section 1005(d) funds.

Each type of program has an associated set of criteria for selection. Demonstration projects require that applicants include evidence that their projects are likely to serve as models for others and have more elaborate plans for evaluation. Annual priority areas may be selected by the Commissioner. Selection criteria for service projects give considerable weight to the lack of comparable services in the area and the degree of need. Education personnel training projects must show commitment to Indian education. Fellowship applicants are evaluated on the basis of financial need, academic record, other evidence of potential success, and likelihood of service to Indians on completion of the program.

Program Scope

In 1980, 272 Part B applications were received and 71 Part B grants were awarded. The approved projects dealt with the development of bilingual/bicultural programs, instructional materials and media centers, compensatory education, cultural enrichment, dropout prevention, and vocational training. In addition, two hundred fellowships were awarded to students attending 85 institutions in 34 States and the District of Columbia. The awards were made in the areas of medicine, law, education, business administration, engineering, natural resources, and related fields.

In general, most funded projects reflected the special educational needs of the local communities. A majority of the grantees under Part B designed their projects to attempt to meet the most compelling of these needs. Based on rather sparse data, the most effective projects are those which invest the largest dollar amounts on staff - professional, paraprofessional, and nonprofessional. The most effective staff members appear to be those who have special abilities to perform successfully in areas that address the special needs of Indian students, and who have the necessary qualities of awareness and sensitivity to Indian students.

Ongoing and Planned Evaluation Studies

An evaluation study of Part B began in September, 1979.

Sources of Evaluation Data

Program Review Materials

Program Audits

For further information about program operation,

Contact; Mr. Hakim Khan
(202) 245-7527

For further information about studies of program effectiveness,

Contact: Ms. Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Special Programs Relating to Adult Education for Indians

Legislation	Expiration Date
Indian Education Act P.L. 92-318, Title IV Part C	Sept. 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	FY 73	$ 5,000,000	$ 500,000
	FY 74	8,000,000	3,000,000
	FY 75	8,000,000	3,000,000
	FY 76	8,000,000	4,000,000
	FY 77	8,000,000	4,200,000
	FY 78	8,000,000	4,410,000
	FY 79	8,000,000	5,930,000
	FY 80	8,000,000	5,830,000
	FY 81	8,000,000	5,430,000

Program Goals and Objectives

The purpose of Part C is to improve educational opportunities below the college level for Indian adults. Authorized activities include: service projects that provide basic education, secondary education and preparation for the G.E.D., and career counseling; demonstration projects designed to test and demonstrate the effectiveness of programs for improving employment and educational opportunities for adult Indians; research and development projects to develop more innovative and effective techniques; surveys to determine the extent of illiteracy and lack of high school completion in the Indian community; and dissemination and evaluation projects.

The long-range goal of Part C is to substantially reduce illiteracy and improve educational and employment qualifications among Indian adults. Immediate objectives include: (a) Increase the number of Indian adults who are basically literate or who obtain a high school equivalency diploma (G.E.D.) through service projects based in the Indian community; (b) Develop new approaches which are relevant to the culture and heritage of Indian adults in demonstration projects; and (c) Determine the extent of illiteracy and undereducation in the Indian community and identify current resources at the Federal and State levels directed to those problems.

Program Operations

Part C awards are made annually on the basis of national competition. Projects may be supported up to three years in length, subject to availability of funds and satisfactory performance. Eligible applicants include Indian tribes, organizations, and institutions and State and local education agencies. Under Part C, preference in selection of applications must be given to Indian organizations and institutions. Implementation of this preference has resulted in no awards being given to other types of organizations.

Program Scope

In FY 1980, 116 applications were received under Part C and 49 awards were made. About 9,486 Indian adults will be served in the projects. Most projects address a full range of services, including basic education, preparation for the G.E.D., counseling, and support services to enable adults to attend the program, such as assistance with transportation and child care. Some projects offered components in the areas of consumer education or vocational education.

The final year of a three-year survey of adult Indian needs was funded in 1979. The project is designed to determine the extent of the problems of illiteracy and lack of high school completion for Indian adults, describe the status of available Federal and State supported adult education services to Indians, and recommend possible strategies.

Ongoing and Planned Evaluation Studies

An evaluation study of Part C began in September, 1979.

Sources of Evaluation Data

Program Review Materials

Program Audits

For further information about program operation,

Contact: Mr. Hakim Khan
(202) 245-7527

For further information about studies of program effectiveness,

Contact: Ms. Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Metric Education

Legislation

P.L. 95-561, Title III
Part B.

Expiration Date

September 30, 1983

FUNDING HISTORY

YEAR	AUTHORIZATION	APPROPRIATION
1975	$ -0-	$ -0-
1976	10,000,000	2,090,000
1977	10,000,000	2,090,000
1978	10,000,000	2,090,000
1979	20,000,000	1,840,000
1980	20,000,000	1,840,000
1981	20,000,000	1,840,000

Program Goals and Objectives

The Act states that the program's purpose is to encourage and support programs to prepare students to use the metric system of measurement as part of the regular educational program. The outcomes of an effective metric education project include: improving the long term capabilities of individuals and instructional personnel of institutions to use and teach the metric system of measurement; developing or adapting new techniques and approaches to meet the metric educational needs of the learner population(s); including the constituents of nonprofit agencies; identifying and using local and other resources for metric education purposes; supporting new or existing metric educational activities of educational agencies and institutions; continuing and expanding successful project activities after Federal funding is ended; and evaluating metric educational activities in realizing project objectives.

Program Operations

This program solicits proposals for grants and contracts for the following activities: (1) inservice and/or preservice training of teachers; (2) State- and multi-state metric educational planning and training; (3) mobile metric education units; (4) development and dissemination of high quality metric educational models and materials; (5) mass media development; (6) school-based inter-disciplinary metric instructional projects; (7) the provision of metric educational opportunities for the constituents of non-profit groups, institutions, organizations, and agencies; and (8) for the enhancement of the National effort of the Metric Education Program effort.

Program Scope

Fiscal Year 1980 budget negotiations will commence during the fourth quarter of Fiscal Year 1980. These grants will generally commence during the month of September, 1980 and will continue for a 12 month duration.

Program Effectiveness and Progress

No evaluation of this program has been conducted.

Ongoing and Planned Evaluation Studies

An exploratory evaluation is proposed for FY 81.

Sources of Evaluation Data

Analyses of grantee progress reports and on-site monitoring data.

For further information about program operation,

Contact: Floyd Davis
(202) 653-5920

For further information about program effectiveness,

Contact: Robert J. Maroney
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Program for the Gifted and Talented

Legislation	Expiration Date
P.L. 95-561, Title IX, Part A	June 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	Commissioner's S&E	$ 50,000
	1976	$12,250,000	2,560,000
	1977	12,250,000	2,560,000
	1978	12,250,000	2,560,000
	1979	25,000,000	3,780,000
	1980	30,000,000	6,280,000
	1981	35,000,000	6,280,000

Program Goals and Objectives

The Act indicates that the purpose of this program is to provide special educational services to gifted and talented children. The program regulations specify the following objectives:

A. The development and dissemination to the public of information pertaining to the education of gifted and talented children and youth

B. Grants to State and local educational agencies for the planning, development, operation, and improvement of programs and projects designed to meet the special educational needs of the gifted and talented at the preschool, elementary and secondary school levels

C. Grants to State education agencies for training personnel engaged, or preparing to engage, in educating the gifted and talented or as supervisors of such persons

D. Grants to institutions of higher education or other appropriate nonprofit agencies for training leadership personnel (including internships) in the education of the gifted and talented

E. Contracts with public and private agencies for the establishment and operation of model projects for the identification and education of the gifted and talented.

PROGRAM OPERATIONS

Under P.L. 95-561, 75% of the appropriation is provided to the States for a STate-administered program of funding discretionary grants to LEAs for direct services to gifted and talented children. At least 50% of a States appropriation must be spent on LEA projects having a component for serving disadvantaged children. Of the 75%, at least 90% must pass through to the LEAs. The remaining 10% may be used by States for the administration of the program.

The remaining 25% of the appropriation supports a discretionary program at the Federal level which seeks to strengthen leadership in State Education Agencies (SEAs) for the education of the gifted and talented, train a national cadre of leadership in the field, and develop and disseminate information about best practices.

The law requires that under the State-administered program each State receives a minimum of $50,000. Until the appropriation reaches $15 million, any additional funds available above this $50,000 level are provided to States on a competitive basis. At the 1980 level of $6,280,000, States and outlying regions compete for an additional $60,000-$90,000. About 25 States and Territories receive this additional funding, while the remaining 32 States and Territories receive the minimum $50,000.

With the $50,000 minimum per State, an estimated 3 projects per State can be supported, each providing services to about 25 children and providing training for 3 teachers per project. This comes to a total of only 75 children and 9 teachers per State.

At the current appropriation level of $6,280,000, of which $4,710,000 would be used for ths State-administered program, an average $82,000 is provided to each State. At this level, each State could fund an estimated 5 projects, serving 25 children and training 3 teachers each, for a total of 125 children and 15 teachers per State.

Program Scope

Priority concerns are the identification of and service to minority and disadvantaged gifted children. Approximately 78 grants and 13 contracts were awarded for the following activities:

1. State-Administered Program Grants. A total of $4,710,000 (75% of the total appropriation) used to fund State educational agencies (SEAs) under the State-Administered program.

The SEAs use at least 90% of these funds to support local educational agency projects. Of the total amount, $2,850,000 was awarded to 57 States and territories for basic grants of $50,000. The remaining $1,860,000 was awarded to approximately 25 SEAs on a competitive basis.

2. Model Projects. Eight model projects were supported in 1980, which include 4 new awards and 4 continuations. Some of these projects focus on the identification of minority and disadvantaged students who are gifted and talented in the visual and performing arts of science and mathematics, while the other projects focus on special target populations and specific content areas.

3. Professional Development. In order to strengthen leadership in the field of gifted and talented education and provide the teachers, administrators, supervisors, and other leadership personnel needed in this field, nine grants (8 new and 1 continuation) were awarded in 1980 for a total of $765,000. These projects include graduate degree training grants and leadership development grants.

4. Statewide Activities Grants. Approximately $300,000 support 10-15 new grants to SEAs for statewide planning, development, operation and improvement of programs and projects designed to meet the educational needs of gifted and talented children. These grants provide SEAs with resources to develop comprehensive statewide programs, such as providing State coordinators of gifted and talented programs, with a special priority for conducting in-service training programs.

5. Research and Evaluation. One contract for approximately $80,000 was awarded to determine effective methods for identifying and serving gifted and talented children.

Program Effectiveness and Progress

Information on the progress on this program has relied upon self-reports by grantees. No systematic study of effectiveness has been conducted.

Ongoing and Planned Evaluation Studies

An Evaluation Assessment (EA) of this program is currently being performed.

Sources of Evaluation Data

None

For further information about program operation,

Contact: Harold Lyon
(202) 245-2481

For further information about program evaluation,

Contact: Arthur Kirschenbaum
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Community Education

Legislation: Expiration Date:

Elementary and Secondary Education Act, Title VIII — FY 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ 17,000,000	-0-
	1976	$ 17,000,000	$ 3,553,000
	1977	17,000,000	3,553,000
	1978	17,000,000	3,553,000
	1979	17,000,000	3,190,500
	1980	94,500,000	3,138,000
	1981	115,500,000	10,000,000 1/

Program Goals and Objectives:

The goals of the community education program as defined by the Community Schools and Comprehensive Community Education Act and reiterated in the regulations are:

(1) to provide in collaboration with other public and non-profit agencies educational, recreational, cultural, and other related community and human services, in accordance with the needs, interests, and concerns of the community through the expansion of community education programs;

(2) to coordinate the delivery of social services to meet the needs and preferences of the residents of the community served by the school;

(3) to provide for an efficient, energy-conserving use of school facilities; and

(4) to provide for a research and development emphasis in community education which can contribute to an improved formulation of Federal, State, and local policy.

1/ Notice has been received that the Administration is recommending that the 1981 appropriation be put at the 1980 level of $3,138,000. We are awaiting Congressional action before FY 81 spending.

Program Operations:

Discretionary competitive grants are made to local education agencies and to public and private nonprofit organizations to pay the Federal share of the cost of planning, establishing, expanding, and/o operating community education programs. In addition, funds are made available to institutions of higher education to develop and establis or to expand programs which will train persons to plan and operate community education programs.

Funds are also authorized to make formula grants to State Educational agencies in accordance with the development of a State plan. The Federal share of the cost of the State plan shall be 80 per centu for fiscal year 1979, 70 per centum for fiscal year 1980, 30 per centu for fiscal year 1981, 30 per centum for fiscal year 1982, and 20 per centum for the fiscal year 1983. The Federal share of the cost of applications of local educational agencies shall be 90 per centum for fiscal years 1979 and 1980, 80 per centum for the fiscal year 1981 an each of the two succeeding fiscal years. The Federal share of the cos of grants to nonprofit organizations shall be 90 per centum for fiscal years 1979 and 1980, and 80 per centum for the fiscal year 1981 and f each of the two succeeding fiscal years.

Program Scope:

93 grants were awarded in Fiscal Year 1976.
92 grants were awarded in Fiscal Year 1977.
85 grants were awarded in Fiscal Year 1978.
63 grants were awarded in Fiscal Year 1979.
64 grants were awarded in Fiscal Year 1980.

Institution	Amount of Appropriation	No. of Grants FY 80
LEA	$ 1,000,000	25
Public Agencies/Nonprofit	500,000	9
IHE	500,000	7
SEA	1,138,000	23

Program Effectiveness and Progress:

The Community Schools Act and the Community Schools and Comprehensive Community Education Act of 1978 mandated that the Community Education Advisory Council present to Congress a "complete and thorough evaluation of the programs and operation" of the Community Education Program for each year of the Act. To fulfill this requirement, the Advisory Council and the Office of Program Evaluation jointly funded two evaluations. In May 1977, a contract was awarded to Development Associates, Inc., to conduct the first study. The objectives of this study were to describe the organizat and operation of LEA, SEA, and IHE projects funded under this progra and to evaluate their impact at the local and State level. Survey data was collected late in 1977 and early 1978 from all projects refunded in FY 77 for their second year of operation. A sample of 20 of these projects was site-visited to obtain a more detailed picture of how Federal program objectives have been translated into project activities. A final report was presented to Congress in the Fall of 1978.

The report to Congress states that the study findings lead clearly to the overall conclusion that the legislative mandate of the Community Schools Act was met and that the federally supported community education projects were quite successful. Based on the study's findings and analyses it was further concluded that at each major level of program operation (i.e., IHE, SEA, and LEA):

- substantial levels of effort, essentially in keeping with the terms of the federal grants and federal policy, have been expended;
- these levels of program effort and activity were achieved, in part, because there were substantial commitments of non-federal resources, supplementing the federal funds (typically personnel and material, but with small amounts of cash);
- the majority of the projects which had received federal funds for only one year were continuing at least some of these activities, and, in several, the level of effort, even without federal funds, had increased; and
- the project-supported activities had produced desired effects on the educational and broader community systems with which they were concerned, and also produced identifiable and appreciated changes in individual project participants.

Finally, the program and project level staff encountered in this study seemed to have had an unusually high degree of interest in the quality of the operations and an especially high degree of commitment to the projects. This may be a function of the relative newness of the federal funding initiative, or the nature of the community education movement across the country.

Ongoing Evaluation Studies:

A study entitled, "Evaluation of the Community Education Program" is presently in progress with findings to be available in March 1981. The purpose of this second national Evaluation is twofold:

(1) to describe and analyze the operations of state education agencies as they promote and develop the concept of community education in their respective states; and,

(2) to assess the impact of federal support on the capabilities of the SEA's to develop their capacities in the community education area.

Source of Evaluation Data:

Annual reports from systematic evaluation studies.

For further information about program operations,

Contact: Bernard B. O'Hayre
245-0961

For further information about program evaluation,

Contact: Robert J. Maroney
245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Consumers' Education

Legislation	Expiration Date
P.L. 95-561, Title III Part E,	June 30, 1983

FUNDING HISTORY

YEAR	AUTHORIZATION	APPROPRIATION
1977	$ 15,000,000	$ 3,135,000
1978	15,000,000	4,068,000
1979	15,000,000	3,135,000
1980	not less than $5,000,000	3,617,000
1981	not less than $5,000,000	3,617,000

Program Goals and Objectives

The enabling legislation states that this program is in response to the Congress' findings that consumer education needs to be encouraged and supported in this period of an inflated economy. More specifically, the regulations describe the program goals as developing processes by which consumers:

(1) Acquire skills to make informed decisions in the purchase of goods and services in light of personal values, maximum utilization of resources, available alternatives, ecological considerations, and changing economic conditions;

(2) Become knowledgeable about the laws, rights, and methods of recourse in order to participate effectively and self-confidently in the marketplace and take appropriate action to seek consumer redress; and

(3) Develop an understanding of the consumer-citizen role in the economic, social, and government systems and how to influence those systems to make them responsive to consumers' needs.

Program Operations

Grants are awarded to State and local educational agencies, institutions of higher education and non-profit agencies to support activities designed to: (1) Establish pilot or demonstration projects, or augment existing projects; (2) provide short-term training to prepare educators and community leaders to plan, organize, and conduct consumers' education projects or teach consumer-related subject matter; (3) establish or expand pilot or demonstration projects to serve the needs of special groups including the elderly, Native Americans, persons with limited English-speaking ability, the handicapped, and urban and rural low-income groups; (4) research, develop, pilot test, evaluate, and disseminate curricula and other activities and materials in consumers' education; and (5) provide consumers' education at the elementary, secondary and higher education levels.

Procurement contracts are awarded to profit-making agencies and parties listed above to support activities, usually national in scope, which meet specific needs of the Consumers' Education Program. These may be designed to: (1) Research, test, assess, evaluate, and disseminate existing consumers' education activities and materials; (2) disseminate information and provide developmental and technical assistance to agencies and organizations that are planning, developing, or carrying out consumers' education projects; (3) prepare and distribute consumers' education materials by the use of mass media; and (4) support other activities necessary for the development of the Consumers' Education Program.

Program Scope

At this writing, 1980 applications have not yet been received. For 1979, 57 grants and 13 procurement contracts have been awarded. Twenty-nine States and the District of Columbia are presented in the 57 grant awards. Four of these represent re-submissions from fiscal year 1978 grantees.

There continue to be projects to meet the needs of low-income people, both urban and rural; to work with the elderly in several settings; to bring consumer education to groups whose first language is Spanish, to Native Americans on and off reservations, and to trade unionists.

Over 1,500 teachers and 100 people in key educational positions will have received training on consumer education topics ranging from effective family budgeting to methods of evaluating advertising and promotional techniques designed to trap the unwary. Particular emphasis is placed on developing leadership at the State level and encouraging statewide efforts to introduce consumers' education. In community and other nonprofit agencies, the stress is placed upon over 1,500 service providers with training and development activities designed to improve their consumer educational effectiveness with regard to specific target groups such as the elderly, handicapped, and low income, rural and urban populations. The focus upon institutional capacity building activities is evidenced in almost all projects by the direct emphasis on the service provider rather than the individual consumers.

Two major contracts were continued covering significant areas of service, technical assistance, disseminations, and curriculum devlopment. One of these, a three-year contract, involves the collection, organization and assessment of consumer education materials and will provide technical assistance to over 1,500 consumer education organizations and agencies. The final year of a two-year contract to analyze curriculum material examined current materials to determine the specific areas of study not adequately present in existing textbooks and teaching materials.

Several small procurement contracts were issued to investigate specific issues useful to consumer educators and a very small dissemination system for the results of these procurement contracts has been developed and implemented within the Office of Consumers' Education.

There were 625 applications in fiscal year 1979 requesting support. Of this total, 57 were funded. In fiscal year 1979 the average grant award was $46,600 compared to last year's $56,300. A similar number of applications is anticipated in fiscal year 1980 with approximately the same number funded.

Program Effectiveness and Progress

Comment as to the effectiveness of the program is difficult to make on the 1979 grants alone. A review of the first four years' projects is underway and will identify timely and effective projects. New Rules and Regulations were developed and in use for this year.

Ongoing and Planned Evaluation Studies

An exploratory evaluation is being planned for FY '81.

Sources of Evaluation Data

Interim and final reports from ongoing projects.

For further information about program operation,

Contact: Dustin Wilson
(202) 653-5983

For further information about program effectiveness,

Contact: Robert J. Maroney
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Women's Educational Equity

Legislation

P.L. 95-561, Title IX, Part C

Expiration Date

September 30, 1983

FUNDING HISTORY

YEAR	AUTHORIZATION	APPROPRIATION
1975	$ -0-	$ -0-
1976	30,000,000	6,270,000
1977	30,000,000	7,270,000
1978	30,000,000	8,085,000
1979	30,000,000	9,000,000
1980	80,000,000	10,000,000
1981	80,000,000	15,000,000

Program Goals and Objectives

In accordance with the Act, the purpose of the program is to provide educational equity for women in the United States and to provide financial assistance to enable educational agencies and institutions to meet the requirements of Title IX of the Education Amendments of 1972.

The program defines its goals as:

A) The elimination of discrimination on the basis of sex and of those elements of sex role stereotyping and sex role socialization in educational institutions, programs, and curricula which prevent full and fair participation by women in educational programs and in American society generally.

B) The achievement of responsiveness by educational institutions, programs, curricula, policy makers, administrators, instructors, and other personnel to the needs, interests, and concerns of women arising from inequitable educational policies and practices.

There are two program strategies to achieve these goals. The first is a program of demonstration, developmental, and dissemination activities of national, general, or statewide significance. The second is direct assistance to projects of local significance to support the operation of programs of equal educational opportunities for both sexes, including activities to achieve compliance with Title IX.

Program Operations

The program may receive applications or proposals from any public agency, private nonprofit organization, or individual. They are reviewed by panels which are broadly representative of the concerns of the program. The most highly rated applications are funded, within the mandated requirements both for appropriate geographical distribution and for projects at all levels of education, as well as the regulatory requirement for projects which collectively represent to the extent possible the diverse needs and concerns in educational equity for women. This program, under the Secretary's approval, is entirely discretionary.

Program Scope

Activities are mandated at all levels of education--preschool through adult. The program aims at both children and adults, both women and men; ethnic, regional, and socioeconomic groups; educational personnel as well as parents, students, and concerned citizens. In FY 1980, funds were allocated as shown in the summary below:

Summary of Awards

Grant of general or national significance	1980
New general grants	27
New small grants	20
Continuation grants	14
Total grants	61
Total contracts	12

Program Effectiveness and Progress

No evaluation of this program has been conducted by the Education Department.

Ongoing and Planned Evaluation Studies

The Women's Program Staff has a 42-month contract for case studies of a variety of projects to assess their implementation and for measurement instruments that can be used by equity projects.

The Office of Program Management is conducting an evaluability assessment that began in September 1980.

Sources of Evaluation Data

Project Reports and studies cited above.

For further information about program operations,

Contact: Leslie Wolfe
(202) 245-2181

For further information about program evaluation,

Contact: Robert J. Maroney
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Arts in Education Program

Legislation	Expiration Date
P.L. 95-561, Part C, Title III	June 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	-0-	
	1976	Not less than $ 750,000	$ 750,000
	1977	Not less than 750,000	$ 1,750,000
	1978	Not less than 750,000	$ 2,000,000
	1979	Not less than 750,000	$ 3,000,000
	1980	20,000,000	$ 3,500,000
	1981	20,000,000	$ 3,500,000

Program Goals and Objectives

The legislative intent for this program is to encourage and assist State and local educational agencies to establish programs in which the arts are an integral part of elementary and secondary school programs. The program purpose, in accordance with the published regulations, is to:

(1) Encourage the development, in students, of an aesthetic awareness in the arts

(2) Foster self-actualization and the development of communicative skills through movement, sound visual images, and verbal usage

(3) Involve each student in each school covered by the application in enjoyment, understanding, creation, and evaluation of, and participation in, the arts

(4) Address the spectrum of art forms, including at least dance, music, drama, and the visual arts

(5) Integrate these art forms into the regular educational program as distinguished from treating them on an extra-curricular or peripheral basis; and

(6) Infuse the arts into the curriculum to enhance and improve the quality of aesthetic education offered, and expand the use of the arts for cognitive and affective learning experience.

Program Operations

Grants are awarded to State and local education agencies and with FY 80 to other public, and private non-profit organizations, institutions and agencies as well, on a competitive basis. The John F. Kennedy Center for the Performing Arts, through the Alliance for Arts Education, provides a variety of forms of technical assistance to grant applicants.

Projects funded tend to combine a variety of activities designed to integrate an appreciation of the arts with educational practices. These activities focus on students as well as on teachers (e.g., through training programs) and other education practitioners (e.g., through State and local conferences).

Program Scope

The program used some Salary and Expense monies in FY 75 to conduct regional conferences and workshops, and to assist States in planning for arts educational programs. In 1976, grants were awarded for the first time under this program using a specific appropriation of funds for Arts in Education.

The following represents the four-year program breakdown:

	State	Local	Trust Territories	BIA 1/	Total
1976	41	44	3	1	89
1977	29	47	1	0	77
1978	41	39	0	0	80
1979	43	39	1	0	83

1/ BIA (Bureau of Indian Affiars) was ruled an ineligible applicant to the program by the Office of General Counsel of the Education Divsion of HEW and has therefore not been considered for funding after this initial grant.

At the State level funded projects have generally included uch activities as mini-grant programs for local school districts, tatewide conferences to promote the concept of arts in education, tatewide teacher training activities and the acceptance of a tatewide plan for the arts. At the local level projects are ven more varied but have especially narrowed upon inservice eacher training, technical assistance contracts for arts onsultants; training workshops and project planning research.

In the fall of 1976 Congress appropriated an additional $1 illion under the program, over and above $750,000 for FY 77 rants to State and local education agencies. This additional 1 million was provided specifically for: the Alliance for Arts ducation ($750,000) and the National Committee/Arts for the andicapped ($250,000).

Begining in 1977 the Congress has annually doubled the amount o be provided for the National Committee/Arts for the Handicapped, ringing its current appropriation for 1980 up to $1.5 million. n addition, the Congress increased Arts Education project funds y $500,000 for the FY 79. The additional funds were awarded to tate and local applicants through a Request for Proposals. The urpose of the RFP will be to identify and support programs in arts ducation which exemplify the infusion of the arts into the basic lementary and secondary school curriculum, community involvement nd cooperative planning. There were 10 awards.

In 1980, the Arts in Education Program revised its funding trategy in an effort to promote collaboration among schools and ocal arts resources. The FY 80 appropriation remains at $1.5 million. arger awards (Averaging $50,000) but fewer grants will be made to rojects which propose an effective management of their community rts and education resources. Involvement of such organizations as useums, performing arts companies, universities, and colleges, art ouncils, and parent groups are a requirement of the new program egulations. Minimum elements of consortium are established for hree separate categories of competition: State, urban and rural.

rogram Effectiveness and Progress

Although currently only three years of funded projects have een completed and the final reports submitted, on the basis of the roosals themselves certain program trends are noticed. There is growing frequency among applicants to encompass the secondary chool population in an arts project. Nevertheless, the number of rojects specifically designed for high school students is isproportionately small compared with that number for elementary chool students. Inservice teacher training has remained the ctivity most often funded while funding for curriculum publishing nd dissemination has increased.

Ongoing and Planned Evaluation Studies

Data has been collected by program staff which identify the levels of education of students involved in the projects, populations to be benefited, project activities, community resources utilized, evidence of cost-sharing, by-passed groups involved, university participation and the level of support by State Arts Education Alliances. By the fall of 1981 an evaluation of the four-year program will be completed by the program office.

Source of Evaluation Data

Program Reports

For further information about program operations,

Contact: Harold Arberg
(202) 245-8912

For further information about program evaluation,

Contact: Robert J. Maroney
(202) 245-8877

APPENDIX A

Evaluation Contracts Active During Fiscal Year 1980

APPENDIX A

Evaluation Contracts Active During Fiscal Year 1980

100000 Series: Elementary and Secondary Programs 504

300000 Series: Postsecondary Programs 513

500000 Series: Occupational, Handicapped, and Developmental Programs 516

700000 Series: Program Assessments 519

900000 Series: Miscellaneous.................................... 520

-- This listing includes all contracts any part of the performance of which or the award of which occurred during FY 1980.

-- All funds are "P&E" unless otherwise indicated under "Description of contract."

-- FY 1981 funds shown are Title I monies obligated July through September 1980.

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
1. ELEMENTARY AND SECONDARY PROGRAMS						
1 74 991	DEC-0-74-0582 COMPLETED FUNDING HISTORY, FY 741 2770900 751 1301386 761 869116 771 53685 781 45490	FOLLOW THROUGH NATIONAL EVALUATION: DATA COLLECTION AND DATA PROCESSING (CONTINUATION OF 169191) (FOLLOW THROUGH FUNDS)	STANFORD RESEARCH INSTITUTE MENLO PARK, CALIF. 10/73 TO 11/79	(N)	BURNS OPE	5040577
1 75 001	300-75-0332 FUNDING HISTORY, FY 751 4025600 761 2149947 771 3410539 781 3865027 791 3082510 801 2775048	EVALUATION OF THE SUSTAINING EFFECTS OF COMPENSATORY EDUCATION (PRIMARILY TITLE I FUNDS WITH SOME P&E AND S&E FUNDS)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. 7/75 TO 9/82	(P)	ANDERSON J K OPE	19308671
1 76 004	300-76-0093 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 761 357876 771 1668423 791 297828	EVALUATION OF THE TITLE I PROGRAM IN STATE INSTITUTIONS FOR NEGLECTED AND DELINQUENT CHILDREN ($258,539 TITLE I FUNDS IN 77; ALL SUCH IN 79)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. 2/76 TO 7/80	(P)	ANDERSON J. K OPE	2324127
1 76 005	300-76-0095 FUNDING HISTORY, FY 761 470707 771 1138151 781 2075616 791 66477	EVALUATION OF THE IMPACT OF THE ESEA TITLE I MIGRANT PROGRAM (TITLE I FUNDS EXCEPT $32,645 P&E FUNDS IN FY 79)	RESEARCH TRIANGLE INSTITUTE DURHAM, N. C. 2/76 TO 3/81	(N)	BURNS OPE	3751051
1 77 001	300-77-0515 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 771 191665 781 410287	A PROCESS AND MANAGEMENT STUDY OF CONSOLIDATED PROGRAMS UNDER ESEA TITLE IV	THE RAND CORPORATION SANTA MONICA CAL. 10/77 TO 5/80	(N)	WEINHEIMER OPE	601952
1 77 003	300-77-0488 FUNDING HISTORY, FY 771 50000 781 206078 791 189089 801 24996	DEVELOPMENT OF EVALUATION MODELS FOR TITLE I PROGRAMS IN EARLY CHILDHOOD EDUCATION (TITLE I FUNDS)	HURON INSTITUTE BOSTON MASS 10/77 TO 3/81	(N)	STONEHILL OPE	470163

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
1 77 010	300-77-0327 FUNDING HISTORY, FY 77: 1174438 78: 1463741 79: 313642	A STUDY OF THE EFFECTS OF SELECTED ESAA SUPPORTED ACTIVITIES ON INTER-GROUP RELATIONS AND BASIC SKILLS (ESAA FUNDS)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. (P) 8/77 TO 6/81	WEINHEIMER OPE	2951821
1 77 014	300-77-0313 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 77: 722529 78: 390676	EVALUATION OF BILINGUAL PROJECT INFORMATION VIA PROJECT INFORMATION PACKAGES (PIPS FUNDS)	RMC RESEARCH CORPORATION MOUNTAIN VIEW, CAL. (P) 7/77 TO 7/80	WEINHEIMER OPE	1113205
1 78 001	300-78-0437 FUNDING HISTORY, FY 78: 639158 79: 1309423 80: 601310	STUDY OF PARENTAL INVOLVEMENT IN VARIOUS PROGRAMS (ESAA, FOLLOW THRU, S&E, BILINGUAL, & TITLE I FUNDS) FUNDS)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. (P) 9/78 TO 4/81	BURNS OPE	2549891
1 78 005	300-78-0489 FUNDING HISTORY, FY 78: 644885 80: 203708	DEVELOPMENT OF ENTRY/EXIT CRITERIA AND ASSOCIATED ASSESSMENT PROCEDURES FOR BILINGUAL EDUCATION PROJECTS ($88,000 BILINGUAL & $556,885 S&E)	SWRL ED RESEARCH & DEVELOPMENT LOS ALAMITOS, CALIFORNIA (N) 9/78 TO 3/81	SHOEMAKER OPE	848593
1 78 011	300-78-0182 FUNDING HISTORY, FY 78: 398755 79: 259104 80: 320315	AN ANALYSIS OF ISSUES IN ESEA TITLE I EVALUATION AND REPORTING (TITLE I FUNDS)	RMC RESEARCH CORPORATION MOUNTAIN VIEW, CAL. (P) 7/78 TO 4/81	STONEHILL OPE	978174
1 78 012	300-78-0168 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 78: 17462	STATE AND LOCAL GUIDE TO CRITERION REFERENCED TESTING (TITLE I FUNDS)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 8/78 TO 5/80	ANDERSON J K OPE	17462
1 78 031	300-78-0527 FUNDING HISTORY, FY 78: 2117315 79: 168918 80: 152184	STUDY OF DISSEMINATION EFFORTS SUPPORTING SCHOOL IMPROVEMENT ($1,519,700 DISSEM & $597,618 FOLLOW THRU FUNDS IN 78, ALL DISS IN 79&80)	NETWORK OF INNOVATIVE SCHOOLS ANDOVER, MASS. (N) 9/78 TO 12/81	WEINHEIMER OPE	2438420

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
1 78 040	300-78-0521 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 78: 50769 79: 12730	STUDY OF SUPPLEMENTAL TRAINING AVAILABLE TO FOLLOW THROUGH PARENTS AND AIDES (FOLLOW THRU FUNDS)	REHAB GROUP, INC. ARLINGTON, VIRGINIA (P) 9/78 TO 7/80	OKADA OPE	63499
1 78 041	300-78-0486 COMPLETED--REPORT AVAILABLE ED187437 FUNDING HISTORY, FY 78: 79278	JOINT MODEL STUDY PROJECT: HIGH/SCOPE FOUNDATION AND UNIVERSITY OF KANSAS (FOLLOW THRU FUNDS)	HIGH/SCOPE ED RES FOUNDATION YPSILANTI, MICH. (N) 9/78 TO 11/79	BURNS OPE	79278
1 78 042	300-78-0458 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 78: 88864	PLANNING INFORMATION FOR FOLLOW THROUGH EXPERIMENTS (FOLLOW THRU FUNDS)	UNIVERSITY OF NORTH CAROLINA CHAPEL HILL, NORTH CAROLINA (A) 9/78 TO 1/80	BURNS OPE	88864
1 78 043	300-78-0459 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 78: 48592	PLANNING INFORMATION FOR FOLLOW THROUGH EXPERIMENTS (FOLLOW THRU FUNDS)	SOUTHWEST EDUC DEVELOPMENT LABS AUSTIN, TEXAS (N) 9/78 TO 1/80	BURNS OPE	48592
1 78 044	300-78-0460 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 78: 53682	PLANNING INFORMATION FOR FOLLOW THROUGH EXPERIMENTS (FOLLOW THRU FUNDS)	GEORGIA, UNIVERSITY OF ATHENS, GA. (A) 9/78 TO 1/80	BURNS OPE	53682
1 78 045	300-78-0456 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 78: 49799	PLANNING INFORMATION FOR FOLLOW THROUGH EXPERIMENTS (FOLLOW THRU FUNDS)	UNIVERSITY OF OREGON EUGENE, OREGON (A) 9/78 TO 1/80	BURNS OPE	49799
1 78 046	300-78-0457 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 78: 70739	PLANNING INFORMATION FOR FOLLOW THROUGH EXPERIMENTS (FOLLOW THRU FUNDS)	UNIVERSITY OF KANSAS LAWRENCE, KANSAS (A) 9/78 TO 1/80	BURNS OPE	70739
1 78 047	300-78-0455 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 78: 45352	PLANNING INFORMATION FOR FOLLOW THROUGH EXPERIMENTS (FOLLOW THRU FUNDS)	GEORGIA STATE UNIVERSITY ATLANTA, GEORGIA (A) 9/78 TO 1/80	BURNS OPE	45352
1 78 048	300-78-0443 COMPLETED--REPORT AVAILABLE ED187806-10 FUNDING HISTORY, FY 78: 471511	EXAMINATION OF ALTERNATIVES FOR FOLLOW THROUGH EXPERIMENTATION (FOLLOW THRU FUNDS)	ABT ASSOCIATES CAMBRIDGE MASS. (P) 9/78 TO 12/79	KLEIN OPE	471511
1 79 001	300-79-0467 REPORT AVAILABLE ED FUNDING HISTORY, FY 79: 350000	A COMPREHENSIVE STUDY OF EVALUATION PRACTICES AND PROCEDURES IN FEDERALLY FUNDED ELEMENTARY AND SECONDARY EDUCATION PROGRAMS	NORTHWESTERN UNIVERSITY EVANSTON, ILLINOIS (B) 9/79 TO 6/81	ANDERSON J K OPE	350000

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
1 79 002	300-79-0690	STUDY ON PROGRAM EVALUATION IN EDUCATION	NATIONAL ACADEMY OF SCIENCES WASHINGTON, D. C. (N) 9/79 TO 1/81	MARENUS ODAB	99900
FUNDING HISTORY, FY 79: 99900					
1 79 101	300-79-0014 COMPLETED--REPORT AVAILABLE	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	MONTANA DEPT OF PUBLIC INSTRCTN HELENA, MONTANA (S) 10/78 TO 11/79	STONEHILL OPE	6826
FUNDING HISTORY, FY 79: 6826					
1 79 103	300-79-0017 COMPLETED	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	NEBRASKA STATE DEPT OF EDUCATION LINCOLN, NEBRASKA (S) 1/79 TO 12/79	STONEHILL OPE	33505
FUNDING HISTORY, FY 79: 33505					
1 79 104	300-79-0018 COMPLETED--REPORT AVAILABLE	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	PENNSYLVANIA DEPT OF EDUCATION HARRISBURG, PA. (S) 11/78 TO 11/79	ANDERSON J I OPE	31912
FUNDING HISTORY, FY 79: 31912					
1 79 105	300-79-0019 COMPLETED--REPORT AVAILABLE	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	OREGON STATE DEPT OF EDUCATION SALEM, OREGON (S) 12/78 TO 11/79	STONEHILL OPE	35106
FUNDING HISTORY, FY 79: 35106					
1 79 106	300-79-0021 COMPLETED--REPORT AVAILABLE	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	KANSAS STATE DEPT OF EDUCATION TOPEKA, KANSAS (S) 12/78 TO 11/79	ANDERSON J K OPE	22000
FUNDING HISTORY, FY 79: 22000					
1 79 107	300-79-0022 COMPLETED--REPORT AVAILABLE	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	WASHINGTON DEPT OF PUBLIC INSTR OLYMPIA, WASHINGTON (S) 12/78 TO 11/79	ANDERSON J K OPE	30483
FUNDING HISTORY, FY 79: 30483					
1 79 108	300-79-0024 COMPLETED	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	NO. CAROLINA DEPT OF PUBL INSTR RALEIGH, N. C. (S) 12/78 TO 12/79	FISHBEIN OPE	34621
FUNDING HISTORY, FY 79: 34621					
1 79 109	300-79-0025 COMPLETED--REPORT AVAILABLE	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	RHODE ISLAND DEPT OF EDUCATION PROVIDENCE, R. I. (S) 12/78 TO 12/79	ANDERSON J I OPE	23900
FUNDING HISTORY, FY 79: 23900					
1 79 110	300-79-0034 TERMINATED BEFORE COMPLETION	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	NEW JERSEY DEPT OF EDUCATION TRENTON, NEW JERSEY (S) 12/78 TO 7/80	FISHBEIN OPE	27596
FUNDING HISTORY, FY 79: 27596					

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
1 79 111	300-79-0035 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 79: 39551	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	ILLINOIS ST BOARD OF EDUCATION SPRINGFIELD, ILL. (S) 12/78 TO 11/79	ANDERSON J K OPE	39551
1 79 112	300-79-0037 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 79: 47414	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	TENNESSEE ST DEPT OF EDUCATION NASHVILLE, TENN. (S) 1/79 TO 3/80	ANDERSON J K OPE	47414
1 79 113	300-79-0041 COMPLETED FUNDING HISTORY, FY 79: 28949	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	NEW YORK STATE EDUCATION DEPT. ALBANY, NEW YORK (S) 1/79 TO 1/80	STONEHILL OPE	28949
1 79 114	300-79-0043 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 79: 19992	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	LOUISIANA ST DEPT OF EDUCATION BATON ROUGE, LA. (S) 12/78 TO 11/79	STONEHILL OPE	19992
1 79 117	300-79-0726 FUNDING HISTORY, FY 79: 200000 80: 177140	A STUDY OF THE UTILIZATION AND EFFECTS OF ALTERNATIVE MEASURES OF COMPARABILITY (TITLE I FUNDS)	APPLIED URBANETICS, INC. WASHINGTON, D.C. (P) 9/79 TO 6/81	STONE OPE	377140
1 79 118	300-79-0246 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 79: 9500	DESCRIPTIVE AND ANALYTICAL CONSIDERATIONS OF STATISTICAL SAMPLING ON STATE ESEA TITLE I EVALUATION REPORTS (TITLE I FUNDS)	RESEARCH TRIANGLE INSTITUTE DURHAM, N. C. (N) 9/79 TO 8/80	GROVES OPE	9500
1 79 121	300-79-0481 FUNDING HISTORY, FY 79: 676713 80: 882992	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION I (TITLE I FUNDS)	RMC RESEARCH CORP. PORTSMOUTH, N. H. (P) 10/79 TO 9/81	ANDERSON J I OPE	1559705
1 79 122	300-79-0482 FUNDING HISTORY, FY 79: 475468 80: 690066	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION II (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE PRINCETON N.J. (N) 10/79 TO 9/81	STONEHILL OPE	1165534
1 79 123	300-79-0483 FUNDING HISTORY, FY 79: 917115 80: 1132228	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION III (TITLE I FUNDS)	NTS RESEARCH CORP DURHAM, N.C. (N) 10/79 TO 9/81	ANDERSON J I OPE	2049343

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
1 79 124	300-79-0484	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION IV (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE ATLANTA, GA. (N) 10/79 TO 9/81	ANDERSON J I OPE	1189247
	FUNDING HISTORY, FY 79: 465519 80: 723728				
1 79 125	300-79-0485	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION V (TITLE I FUNDS EXCEPT $287,434 P&E FUNDS IN FY 80)	EDUCATIONAL TESTING SERVICE EVANSTON, ILL. (N) 10/79 TO 9/81	ANDERSON J I OPE	2196357
	FUNDING HISTORY, FY 80: 1320116 81: 876241				
1 79 126	300-79-0486	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VI (TITLE I FUNDS	POWELL ASSOCIATES, INC. AUSTIN, TEXAS (P) 10/79 TO 9/81	STONEHILL OPE	1194673
	FUNDING HISTORY, FY 80: 1194673				
1 79 127	300-79-0487	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VII (TITLE I FUNDS)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 10/79 TO 9/81	STONEHILL OPE	1660715
	FUNDING HISTORY, FY 80: 1660715				
1 79 128	300-79-0488	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VIII (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. (N) 10/79 TO 9/81	STONEHILL OPE	1575987
	FUNDING HISTORY, FY 79: 708200 80: 867787				
1 79 129	300-79-0489	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION IX (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. (N) 10/79 TO 9/81	ANDERSON J I OPE	1350595
	FUNDING HISTORY, FY 79: 579384 80: 771211				
1 79 130	300-79-0490	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION X (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. (N) 10/79 TO 9/81	STONEHILL OPE	1143665
	FUNDING HISTORY, FY 79: 503601 80: 640064				
1 79 201	300-79-0698	STUDY OF ESAA FUNDED PROGRAMS TO REDUCE DISPROPORTIONATE DISCIPLINARY ACTIONS AGAINST MINORITY STUDENTS (ESAA FUNDS)	JWK INTERNATIONAL CORP. ANNANDALE, VIRGINIA (P) 9/79 TO 1/81	YORK OPE	120827
	FUNDING HISTORY, FY 79: 120827				

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
1 79 202	300-79-0417 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 791 4880	PREPARATION OF PAPER DESCRIBING LANGUAGE IMMERSION SCHOOLS (ESAA FUNDS)	NTS RESEARCH CORP. DURHAM, NORTH CAROLINA 9/79 TO 11/79	(N)	YORK OPE	4880
1 79 301	300-79-0470 COMPLETED FUNDING HISTORY, FY 791 14825	PREPARATION OF FOLLOW THROUGH LATER EFFECTS DATA FILES--SRI PORTION (FOLLOW THRU FUNDS)	STANFORD RESEARCH INSTITUTE MENLO PARK, CALIF. 9/79 TO 3/80	(N)	BURNS OPE	14825
1 79 302	300-79-0469 COMPLETED FUNDING HISTORY, FY 791 9999	PREPARATION OF FOLLOW THROUGH LATER EFFECTS DATA FILES--PHILADELPHIA SCHOOLS PORTION (FOLLOW THRU FUNDS)	SCHOOL DISTRICT OF PHILADELPHIA PHILADELPHIA, PENNA. 9/79 TO 11/80	(L)	BURNS OPE	9999
1 79 401	300-79-0937 COMPLETED--REPORT AVAILABLE ED186414 FUNDING HISTORY, FY 791 83068	ASSESSMENT OF THE NATIONAL DIFFUSION NETWORK'S TECHNICAL ASSISTANCE ACTIVITIES (DISSEM FUNDS)	DINGLE ASSOCIATES WASHINGTON, D.C. 7/79 TO 3/80	(P)	WEINHEIMER OPE	83068
1 79 402	A00-79-081 FUNDING HISTORY, FY 791 150000 801 150000	SUPPORT OF STUDY OF SCHOOL DISTRICT USE OF EVALUATION AND TEST INFORMATION (DISSEM FUNDS PLUS $75,000 TITLE I FUNDS IN FY80)	NATIONAL INSTITUTE OF EDUCATION WASHINGTON, D.C. 9/79 TO 9/81	(F)	ANDERSON J I OPE	300000
1 79 501	300-79-0040 FUNDING HISTORY, FY 791 365457 801 61245	A STUDY OF ESEA TITLE VII FUNDED AND OTHER BILINGUAL TEACHER TRAINING PROGRAMS (BILINGUAL FUNDS)	RMC RESEARCH CORPORATION MOUNTAIN VIEW, CAL. 12/78 TO 6/81	(P)	OKADA OPE	426702
1 79 502	300-79-0675 FUNDING HISTORY, FY 791 615000 801 475984	EVALUATION OF THE CLASSROOM INSTRUCTION COMPONENT OF THE ESEA TITLE VII BILINGUAL EDUCATION PROGRAM (BILINGUAL FUNDS)	DEVELOPMENT ASSOCIATES ARLINGTON, VA. 10/79 TO 9/82	(P)	SHOEMAKER OPE	1090984
1 80 101	300-79-0729 FUNDING HISTORY, FY 801 45233	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	UTAH STATE DEPT OF PUBLIC INST SALT LAKE CITY, UTAH 10/79 TO 2/81	(S)	STONEHILL OPE	45233
1 80 102	300-80-0001 FUNDING HISTORY, FY 801 20000	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	NEW YORK STATE EDUCATION DEPT. ALBANY, NEW YORK 10/79 TO 6/81	(S)	STONEHILL OPE	20000

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
1 80 103	300-80-0002	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	MASSACHUSETTS STATE DEPT OF ED BOSTON, MASS (S) 3/80 TO 3/81	ANDERSON J I OPE	36720
FUNDING HISTORY, FY 801	36720				
1 80 104	300-80-0003	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	RHODE ISLAND DEPT OF EDUCATION PROVIDENCE, R. I. (S) 12/79 TO 2/81	ANDERSON J I OPE	33245
FUNDING HISTORY, FY 801	33245				
1 80 105	300-80-0004	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	ALASKA STATE DEPT OF EDUCATION JUNEAU, ALASKA (S) 11/79 TO 3/81	STONEHILL OPE	50094
FUNDING HISTORY, FY 801	50094				
1 80 106 COMPLETED	300-80-0022	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	ARKANSAS DEPT OF EDUCATION LITTLE ROCK, ARKANSAS (S) 11/79 TO 10/80	ENGLISH OPE	30174
FUNDING HISTORY, FY 801	30174				
1 80 107	300-80-0024	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	OREGON STATE DEPT OF EDUCATION SALEM, OREGON (S) 11/79 TO 3/81	ENGLISH OPE	44583
FUNDING HISTORY, FY 801	44583				
1 80 108	300-80-0038	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	WISCONSIN STATE DEPT OF EDUC MADISON, WISCONSIN (S) 11/79 TO 5/81	ANDERSON J K OPE	24927
FUNDING HISTORY, FY 801	24927				
1 80 109	300-80-0053	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	LOUISIANA ST DEPT OF EDUCATION BATON ROUGE, LA. (S) 12/79 TO 11/80	GROVES OPE	28500
FUNDING HISTORY, FY 801	28500				
1 80 110	300-80-0100	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	PENNSYLVANIA DEPT OF EDUCATION HARRISBURG, PA. (S) 1/80 TO 3/81	ENGLISH OPE	39327
FUNDING HISTORY, FY 801	39327				
1 80 111	300-80-0107	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	INDIANA STATE BOARD OF EDUC INDIANAPOLIS, INDIANA (S) 1/80 TO 3/81	ENGLISH OPE	40731
FUNDING HISTORY, FY 801	40731				
1 80 112	300-80-0119	STATE REFINEMENTS TO THE ED EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	TENNESSEE ST DEPT OF EDUCATION NASHVILLE, TENN. (S) 4/80 TO 9/81	ANDERSON J K OPE	76442
FUNDING HISTORY, FY 801	76442				

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
1 80 113	300-80-0601	A DESCRIPTION OF STATE MANAGEMENT PRACTICES IN ESEA TITLE I (TITLE I FUNDS	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 6/80 TO 6/82	ANDERSON J I OPE	633853
FUNDING HISTORY, FY 80: 633853					
1 80 114	300-80-0933	A DESCRIPTION OF ESEA TITLE I DISTRICT PROGRAMS SINCE 1978 (TITLE I FUNDS)	ADVANCED TECHNOLOGY INC MCLEAN, VA. (P) 9/80 TO 9/82	ANDERSON J K OPE	487660
FUNDING HISTORY, FY 80: 487660					
1 80 201	300-79-0403	EVALUABILITY ASSESSMENT OF ESAA PROGRAM (OPE-FUNDED PORTION OF ASE CONTRACT) (ESAA FUNDS)	DUKE UNIVERSITY DURHAM, N. C. (B) 11/79 TO 12/80	GROVES OPE	48067
FUNDING HISTORY, FY 80: 48067					
1 80 202	300-80-0821	ANALYSIS OF ESAA-FUNDED ACTIVITIES AND ESTABLISHMENT OF AN ESAA MANAGEMENT INFORMATION SYSTEM (ESAA FUNDS)	AUI POLICY RESEARCH WASHINGTON, D.C. (P) 9/80 TO 4/82	GROVES OPE	511536
FUNDING HISTORY, FY 80: 511536					
1 80 301	300-80-0861	ASSESSMENT OF THE SOCIAL IMPLICATIONS OF THE FOLLOW THROUGH PROGRAM (FOLLOW THROUGH FUNDS)	NATIONAL URBAN LEAGUE NEW YORK, N. Y. (N) 9/80 TO 5/83	BURNS OPE	987278
FUNDING HISTORY, FY 80: 987278					
1 80 501	300-80-0598	DEVELOPMENT OF EVALUATION MODELS FOR ESEA TITLE VII BILINGUAL EDUCATION MODELS (BILINGUAL FUNDS)	INTERAMERICA RESEARCH ASSOCIATES ROSSLYN, VA. (P) 6/80 TO 2/82	GROVES OPE	210000
FUNDING HISTORY, FY 80: 210000					

......................SUBTOTAL ELEMENTARY AND SECONDARY PROGRAMS 65025294

FUNDING HISTORY, FY	
67-69:	0
70:	0
71:	0
72:	0
73:	0
74:	2770900
75:	5326986
76:	3847646
77:	8409430
78:	13193079
79:	12427132
80:	18173880
81:	876241

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

3. POSTSECONDARY PROGRAMS

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
3 75 011	FUNDS TRANSFER FUNDING HISTORY, FY 75: 63442 76: 62900 77: 70000 78: 77190 79: 77250 80: 141262	SUPPORT OF THE HIGHER EDUCATION PANEL (CONTINUING PROJECT)	NATIONAL SCIENCE FOUNDATION WASHINGTON, D. C. (F) 7/74 TO 9/81	CORRALLO OPE	492044
3 76 007	300-76-0514 COMPLETED--REPORT AVAILABLE ED185953 FUNDING HISTORY, FY 76: 278811 78: 169839	STUDY OF SELECTED INSTITUTIONS AND STUDENTS PARTICIPATING IN THE FEDERALLY INSURED STUDENT LOAN PROGRAM	CRESAP, MCCORMICK & PAGET WASHINGTON, D.C. (P) 9/76 TO 11/79	MORRISSEY OPE	448650
3 77 001	300-77-0486 COMPLETED--REPORT AVAILABLE ED185955 FUNDING HISTORY, FY 77: 377095 78: 644781	STUDY OF STATE REQUIREMENTS FOR FORMING STATE GUARANTEE AGENCIES IN THE GUARANTEED STUDENT LOAN PROGRAM	TOUCHE, ROSS & CO. WASHINGTON, D.C. (P) 10/77 TO 11/79	MORRISSEY OPE	1021876
3 77 002	300-77-0497 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 77: 325751 78: 33300 79: 9403	EVALUATION OF THE OE CRITERIA FOR THE RECOGNITION OF ACCREDITING AND STATE APPROVAL AGENCIES	EDUCATIONAL TESTING SERVICE PRINCETON N.J. (N) 10/77 TO 7/80	BERLS OPE	368454
3 77 003	300-77-0498 COMPLETED--REPORT AVAILABLE ED187259-64 FUNDING HISTORY, FY 77: 578772 78: 588182	STUDY OF PROGRAM MANAGEMENT PROCEDURES IN THE CAMPUS-BASED AND BASIC GRANT PROGRAMS ($294,090 BEOGS FUNDS IN FY78)	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 10/77 TO 5/80	RATNOFSKY OPE	1166954
3 78 002	300-78-0037 COMPLETED--REPORT AVAILABLE ED186574 FUNDING HISTORY, FY 78: 417000	EVALUATION OF THE UPWARD BOUND PROGRAM--A SECOND FOLLOW-UP	RESEARCH TRIANGLE INSTITUTE DURHAM, N. C. (N) 2/78 TO 11/79	CARROLL OPE	417000
3 78 006	300-78-0208 REPORT AVAILABLE FUNDING HISTORY, FY 78: 59661 79: 448906	SURVEY OF PARENTS OF HIGH SCHOOL SENIORS AND SOPHOMORES (OPE FUNDED PORTION OF NCES CONTRACT)	NATL OPINION RESEARCH CORP. CHICAGO, ILL. (N) 9/78 TO 6/81	BART OPE	508567

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
3 78 008	300-78-0183 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 78: 51650	ACQUISITION OF COOPERATIVE INSTITUTIONAL PROGRAM (CIRP) FILES	HIGHER EDN RESEARCH INSTITUTE LOS ANGELES, CALIF. (P) 9/78 TO 11/79	RATNOFSKY OPE	51650
3 78 010	300-78-0356 FUNDING HISTORY, FY 78: 995263 80: 406100	EVALUATION OF THE SPECIAL SERVICES FOR DISADVANTAGED STUDENTS PROGRAM	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. (P) 9/78 TO 7/82	CARROLL OPE	1401363
3 78 011	300-78-0440 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 78: 70573	A STUDY OF SOURCES OF LOAN FUNDS FOR STUDENTS AND THEIR PARENTS	UNIVERSITY OF PENNSYLVANIA PHILADELPHIA, PENNSYLVANIA (A) 9/78 TO 7/80	MORRISSEY OPE	70573
3 79 001	300-79-0776 FUNDING HISTORY, FY 79: 288820	THE FINANCIALLY DISTRESSED INSTITUTION	AMERICAN COUNCIL ON EDUCATION WASHINGTON D.C. (N) 9/79 TO 5/81	MAXWELL OPE	288820
3 79 002	300-79-0777 FUNDING HISTORY, FY 79: 483423	EVALUATION OF THE LANGUAGE TRAINING AND AREA STUDIES PROGRAM	THE RAND CORPORATION SANTA MONICA CAL. (N) 10/79 TO 12/81	BERLS OPE	483423
3 79 003	300-79-0823 FUNDING HISTORY, FY 79: 96206	INDEBTEDNESS TO FINANCE POST-SECONDARY EDUCATION	EDUCATIONAL TESTING SERVICE WASHINGTON, D.C. (N) 9/79 TO 1/81	MORRISSEY OPE	96206
3 79 004	300-79-0389 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 79: 95427	STATE REGULATORY AGENCY FIELD TEST OF THE AIR INSTITUTIONAL REPORT FORM	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 9/79 TO 11/80	BERLS OPE	95427
3 79 005	300-79-0437 COMPLETED--REPORT AVAILABLE ED185956 FUNDING HISTORY, FY 79: 359318	LONGITUDINAL FOLLOW-UP STUDY OF PROGRAM MANAGEMENT PROCEDURES IN THE CAMPUS-BASED AND BASIC GRANT PROGRAMS	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 9/79 TO 9/80	CORRALLO OPE	359318
3 79 006	HEW-100-79-0038 COMPLETED FUNDING HISTORY, FY 79: 72919	EXPLORATORY EVALUATION OF THE COOPERATIVE EDUCATION PROGRAM	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 9/79 TO 5/80	HERSHNER OPE	72919

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

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SER.                                                                      CONTRACTOR NAME,           PROJECT MONITOR  OBLIG
NO.          CONTRACT NUMBER          DESCRIPTION OF CONTRACT          LOCATION, AND TYPE,         & ORGANIZATION  DOLLARS
                                                                       START AND END DATES

3 79 008    A00-79-014              SUPPORT OF 1979 COOPERATIVE INSTI-  NATIONAL INSTITUTE OF EDUCATION    CORRALLO      100000
  COMPLETED--REPORT AVAILABLE       TUTIONAL RESEARCH PROGRAM           WASHINGTON, D.C.            (F)     OPE
  ED                                                                     8/79 TO  3/80
  FUNDING HISTORY, FY 791    100000

3 80 001    FUNDS TRANSFER          SUPPORT OF 1980 COOPERATIVE INSTI-  NATIONAL INSTITUTE OF EDUCATION    CORRALLO       99987
                                    TUTIONAL RESEARCH PROGRAM           WASHINGTON, D.C.            (F)    OPE
                                                                         7/80 TO  6/81
  FUNDING HISTORY, FY 801     99987

3 80 002    300-80-0834             ASSESSMENT OF THE STRENGTHENING     RESEARCH TRIANGLE INSTITUTE        MAXWELL       127561
                                    DEVELOPING INSTITUTIONS PROGRAM     DURHAM, N. C.               (N)    OPE
                                                                         9/80 TO  9/82
  FUNDING HISTORY, FY 801    127561

...................SUBTOTAL POSTSECONDARY PROGRAMS                7670792

  FUNDING HISTORY, FY 67-691         0
                         701         0
                         711         0
                         721         0
                         731         0
                         741         0
                         751     63442
                         761    341711
                         771   1351618
                         781   3107439
                         791   2031672
                         801    774910
                         811         0
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SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
5. OCCUPATIONAL, HANDICAPPED, DEVELOPMNTL					
5 77 003	300-77-0240 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 77: 475622	THE STATUS AND IMPACT OF BILINGUAL VOCATIONAL TRAINING ($317,703 VOC ED FUNDS)	KIRSCHNER ASSOCIATES WASHINGTON, D.C. (P) 6/77 TO 7/80	SHULER OPE	475622
5 77 302	300-77-0468 FUNDING HISTORY, FY 77: 87986 78: 185277 79: 180491 80: 6882	AN ASSESSMENT OF THE ESAA-TV PROGRAM THROUGH AN EXAMINATION OF ITS PRODUCTION, DISTRIBUTION, AND FINANCING (ESAA FUNDS)	ABT ASSOCIATES CAMBRIDGE MASS. (P) 9/77 TO 1/81	KIRSCHENBAUM OPE	460636
5 77 502	100-76-0127&100-79-0101 FUNDING HISTORY, FY 77: 25000 78: 25000 79: 25000 80: 15000	PREPARATION OF COMPUTER-PREPARED TABLES FOR ANNUAL CONGRESSIONAL REPORT ON STATE USES OF FEDERAL EDUCATION FUNDS	PINKERTON COMPUTER CONSULTANTS BAILEY'S CROSSROADS, VA. (P) 2/77 TO 12/80	SPITZER OPE	90000
5 78 001	300-78-0469 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 78: 311602 79: 25000	ASSESSMENT OF THE OPERATION OF THE ADULT EDUCATION ACT STATE GRANT PROGRAM	DEVELOPMENT ASSOCIATES ARLINGTON, VIRGINIA (P) 9/78 TO 7/80	TUCKER OPE	336602
5 78 101	300-78-0289 FUNDING HISTORY, FY 78: 2467631 79: 140187	TEACHER CORPS PROGRAM 78 AND PROGRAM 79 EVALUATION ($2,397,631 TEACHER CORPS FUNDS IN FY 78	STANFORD RESEARCH INSTITUTE MENLO PARK, CALIF. (N) 8/78 TO 12/83	TUCKER CPE	2607818
5 78 201	300-78-0354 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 78: 108535 79: 282582 80: 32111	AN ASSESSMENT OF THE CAPACITY BUILDING ACCOMPLISHMENTS OF THE REGIONAL RESOURCE CENTERS	COMMUNICATIONS TECHNOLOGY CORP MARLTON, NEW JERSEY (P) 9/78 TO 6/80	TUCKER OPE	423228
5 78 301	300-78-0572 FUNDING HISTORY, FY 78: 405000 79: 154600 80: 25862	AN EVALUATION OF TITLE I OF THE LIBRARY SERVICES AND CONSTRUCTION ACT	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 9/78 TO 1/81	SHULER OPE	585462

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
5 78 501	300-78-0067 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 781 114292 791 147306	EVALUATION OF THE RIGHT TO READ SPECIAL EMPHASIS PROJECTS (RIGHT TO READ FUNDS PLUS $5316 P&E FUNDS IN IN FY 79 & ALL P&E FUNDS IN FY80)	GENERAL RESEARCH CORP MCLEAN, VA. (P) 4/78 TO 7/80	RATTNER OPE	261598
5 78 502	300-78-0400 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 781 119201 791 174573 801 28362	A STUDY OF THE INEXPENSIVE BOOK DISTRIBUTION PROGRAM (RIGHT TO READ FUNDS PLUS $54,657 P&E FUNDS IN FY 79)	GENERAL RESEARCH CORP MCLEAN, VA. (P) 9/78 TO 10/80	MARONEY OPE	322136
5 79 201	300-79-0775 FUNDING HISTORY, FY 791 108847 801 360810	ANALYSIS OF THE BUREAU OF EDUCATION FOR THE HANDICAPPED'S INSERVICE TRAINING	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 9/79 TO 9/81	KIRSCHENBAUM OPE	469657
5 79 501	300-79-0710 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 791 118459	AN ASSESMENT OF VOCATIONAL EDUCATION PROGRAMS FOR INDIAN ORGANIZATIONS AND TRIBES	COMMUNICATIONS TECHNOLOGY CORP MARLTON, NEW JERSEY (P) 9/79 TO 11/80	SHULER OPE	118459
5 79 502	300-79-0676 FUNDING HISTORY, FY 791 283295 801 157573	EVAL OF IMPACT OF PARTS B&C PROGS & PROJS UNDER PART IV INDIAN ED ACT ($130,000 INDIAN ED FUNDS IN FY 79; $123,322 INDIAN ED FUNDS IN FY 80)	COMMUNICATIONS TECHNOLOGY CORP MARLTON, NEW JERSEY (P) 9/79 TO 3/81	STAGG OPE	440868
5 79 503	300-79-0704 FUNDING HISTORY, FY 791 113270 801 62706	EVALUATION OF THE COMMUNITY EDUCATION PROGRAMS ($100,000 COMM ED FUNDS IN FY 79 & ALL COMM ED FUNDS IN FY 80)	DEVELOPMENT ASSOCIATES ARLINGTON, VIRGINIA (P) 9/79 TO 1/81	RATTNER OPE	175976
5 79 505	300-79-0715 FUNDING HISTORY, FY 791 50720 801 115094	AN IMPACT STUDY OF PERSONNEL TRAINED BY THE USOE ALCOHOL AND DRUG EDUCATION PROGRAM (A&DA FUNDS EXCEPT $25,094 P&E IN FY80)	A. T. KEARNEY, INC. ALEXANDRIA, VIRGINIA (P) 9/79 TO 1/81	RATTNER OPE	165814

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
5 80 001	300-80-0101	STUDY OF THE SET-ASIDES FOR LIMITED-ENGLISH-SPEAKING PERSONS UNDER THE VOCATIONAL EDUCATION ACT, AS AMENDED IN 1976	JOHN J. WALSH SAN FRANCISCO, CAL. 5/80 TO 1/81	(I)	SHULER OPE	12738
FUNDING HISTORY, FY 80: 12738						
5 80 002	FUNDS TRANSFER COMPLETED--REPORT AVAILABLE	TECHNICAL SUPPORT AND LITERATURE REVIEW FOR VOCATIONAL EDUCATION AND WORK-RELATED PROGRAMS	MISCELLANEOUS 1/80 TO 9/80	( )	BROWN	60000
FUNDING HISTORY, FY 80: 60000						
5 80 504	300-80-0929	EVALUATION OF THE BASIC SKILLS IMPROVEMENT PROGRAM (BASIC SKILLS FUNDS)	KIRSCHNER ASSOCIATES WASHINGTON, D.C. 9/80 TO 9/82	(P)	KIRSCHENBAUM OPE	136550
FUNDING HISTORY, FY 80: 136550						
5 80 505	300-80-0862	EVALUATION OF THE IMPACT OF THE PART A PROGRAMS AND PROJECTS FUNDED UNDER TITLE IV OF THE INDIAN EDUCATION ACT (INDIAN ED FUNDS)	DEVELOPMENT ASSOCIATES ARLINGTON, VA. 9/80 TO 3/82	(P)	SHULER OPE	326678
FUNDING HISTORY, FY 80: 326678						

....................SUBTOTAL OCCUPATIONAL, HANDICAPPED, DEVELOPMNTL 7469842

FUNDING HISTORY, FY	
67-69:	0
70:	0
71:	0
72:	0
73:	0
74:	0
75:	0
76:	0
77:	588608
78:	3736538
79:	1804330
80:	1340366
81:	0

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SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

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SER.                                                                    CONTRACTOR NAME,                 PROJECT MONITOR  OBLIG
NO.          CONTRACT NUMBER             DESCRIPTION OF CONTRACT       LOCATION, AND TYPE,              & ORGANIZATION   DOLLARS
                                                                        START AND END DATES

7. DIVISION OF PROGRAM ASSESSMENTS

7 79 001     300-79-0544                    EVALUATION OF THE CAREER EDUCATION   AMERICAN INSTITUTES FOR RESEARCH   SCATES         226398
                                            INCENTIVE ACT IMPLEMENTATION         PALO ALTO, CAL.               (N)  DPA
  ED186679                                  ($100,000 CAREER ED FUNDS IN FY 79   10/79 TO  3/81
                                            AND $72,888 CAREER ED FUNDS IN FY80)
  FUNDING HISTORY, FY 79:     110356
                      80:     116042

7 80 001     300-80-0600                    ASSESSMENT OF THE WOMEN'S EDUCA-     AMERICAN INSTITUTES FOR RESEARCH   SCATES          68246
                                            TIONAL EQUITY ACT PROGRAM (WEEA      PALO ALTO, CAL.               (N)  DPA
                                            FUNDS)                                7/80 TO  1/82
  FUNDING HISTORY, FY 80:      68246

7 80 002     300-80-0825                    PROGRAM ANALYSIS AND PRELIMINARY     AMERICAN INSTITUTES FOR RESEARCH   SCATES         439102
                                            ASSESSMENT OF SELECTED FEDERAL       PALO ALTO, CAL.               (N)  DPA
                                            EDUCATION PROGRAMS                    9/80 TO  9/82
  FUNDING HISTORY, FY 80:     439102

7 80 003     HEW-100-79-0038                EXPLORATORY EVALUATION RE FOLLOW     APPLIED MANAGEMENT SCIENCES INC    SCATES          29873
                                            THROUGH SERVICE PROJECTS (PROJECT    SILVER SPRING, MD.            (P)  DPA
                                            TRANSFERRRED FROM HEW TO BE COM-      9/79 TO 12/80
                                            PLETED BY ED)
  FUNDING HISTORY, FY 80:      29873

...................SUBTOTAL DIVISION OF PROGRAM ASSESSMENTS               763619

  FUNDING HISTORY, FY 67-69:          0
                         70:          0
                         71:          0
                         72:          0
                         73:          0
                         74:          0
                         75:          0
                         76:          0
                         77:          0
                         78:          0
                         79:     110356
                         80:     653263
                         81:          0
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SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG DOLLARS
9. MISCELLANEOUS						
9 70 099	SEVERAL	FIELD READERS, SMALL PURCHASE ORDERS, PRINTING, TRAVEL, ETC. (INCLUDES FUNDS FROM SEVERAL SOURCES IN FY'S 76 THRU 80)	MISCELLANEOUS 7/69 TO 9/80	( )	SEVERAL OED	585240
FUNDING HISTORY, FY 70:	7465					
71:	37869					
72:	44645					
73:	45342					
74:	57200					
75:	38188					
76:	83622					
77:	66143					
78:	10403					
79:	105037					
80:	89326					
9 70 299	SEVERAL	PLANNING AND EVALUATION FUNDS TAPPED FOR USE BY OFFICE OF THE ASSISTANT SECRETARY FOR PLANNING AND EVALUATION	MISCELLANEOUS 7/69 TO 9/80	( )	SEVERAL	14577622
FUNDING HISTORY, FY 70:	1561534					
71:	1816784					
72:	1962448					
73:	1213178					
74:	779626					
75:	782561					
76:	1555750					
77:	1387880					
78:	1712700					
79:	1281440					
80:	523721					
9 77 001	HEW-100-77-0034	COMPUTER TIME IN SUPPORT OF PLANNING AND EVALUATION PROJECTS (INCLUDES $5000 TITLE I FUNDS IN FY 80)	COMNET COMPUTER NETWORK CORP. WASHINGTON, D.C. 5/77 TO 9/80	(P)	DEVER	845124
FUNDING HISTORY, FY 77:	33124					
78:	247000					
79:	295000					
80:	270000					

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

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SER.                                                                CONTRACTOR NAME,         PROJECT MONITOR  OBLIG
NO.       CONTRACT NUMBER          DESCRIPTION OF CONTRACT      LOCATION, AND TYPE,      & ORGANIZATION   DOLLARS
                                                                START AND END DATES

*******************SUBTOTAL MISCELLANEOUS                   16007986

  FUNDING HISTORY, FY 67-69:        0
                          70:  1568999
                          71:  1854653
                          72:  2007093
                          73:  1258520
                          74:   836826
                          75:   820749
                          76:  1639372
                          77:  1487147
                          78:  1970103
                          79:  1681477
                          80:   883047
                          81:        0
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SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF DECEMBER 31, 1980

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SER.                                                                     CONTRACTOR NAME,          PROJECT MONITOR  OBLIG
NO.            CONTRACT NUMBER            DESCRIPTION OF CONTRACT        LOCATION, AND TYPE,       & ORGANIZATION   DOLLARS
                                                                         START AND END DATES


.................GRAND TOTAL    96937533

  FUNDING HISTORY, FY 67-69I          0
                         69I          0
                         70I    1568999
                         71I    1854653
                         72I    2007093
                         73I    1258520
                         74I    3607726
                         75I    6211177
                         76I    5828729
                         77I   11836803
                         78I   22007159
                         79I   18054967
                         80I   21825466
                         81I     876241
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APPENDIX B

Evaluability Assessment

APPENDIX B

INTRODUCTION

Evaluability assessment is an analysis of a program's design and function to determine whether program performance is likely to be successful and whether further program evaluation will be useful. In the course of analyzing program function, evaluability assessment requires that program objectives and activities be clearly specified; that causal assumptions underlying the program be explicitly stated; that indicators of performance be identified; and that intended uses of evaluation results be specifically defined. The results of evaluability assessment provide a framework in which informed decisions regarding program redesign and further program evaluation studies may be made.

Evaluability assessments of Department of Education programs were begun in Fiscal Year 1979. Twelve assessments were started in Fiscal Year 1979 and Fiscal Year 1980. At the end of Fiscal Year 1980, two of the assessments were still in process, two had been terminated prior to completion, and eight had been completed. It is anticipated that at least four new evaluability assessments of Department programs will be undertaken in Fiscal Year 1981.

This appendix contains descriptions of all ED evaluability assessments which were initiated during Fiscal Year 1979 and 1980.

The twelve evaluability assessments described in this appendix have been categorized according to their status of development: Ongoing, Terminated, and Completed.

ONGOING ASSESSMENTS

1. Women's Educational Equity Act Program

   This $10 million (FY 1980) discretionary program is administered within the Office of Educational Research and Improvement (OERI). A contract for an evaluability assessment was awarded on July 1, 1980 to the American Institutes for Research. The draft final report will be received in December 1980 and will be followed by briefings for ED staff.

2. Strengthening Developing Institutions Program

   This is a discretionary grant program, located within the Office of Postsecondary Education, for which $110 million was appropriated in FY 1980. A contract for a two-phase study was awarded to Research Triangle Institute in September 1980. The first phase of this project is an evaluability assessment which is scheduled for completion on April 30, 1981.

TERMINATED ASSESSMENTS

Two evaluability assessments that were begun late in FY 1979 under DHEW/ASPE management have been terminated. The managers of the Vocational Education Program and of the National Center for Education Statistics both asked that work be stopped because the heavy staff work loads imposed by the transition into the new Department of Education prevented their participation. Because of the organizational and staffing changes which have since taken place, it would be necessary to start new assessments rather than to attempt to "finish" either of these studies.

COMPLETED ASSESSMENTS

1. Bilingual Education

   Background: This is a $167 million (FY 1980) discretionary program managed by the Office of Bilingual Education and Minority Language Affairs. An evaluability assessment of the program was undertaken by DHEW/ASPE in January 1979, using ASPE staff. After interviewing program managers and policy-level respondents including Congressional appropriations Committee staff members, a description of the intended program was drafted. Twelve project sites were visited to observe actual operations. After discussing their findings with program management, the Work Group focused their analyses on internal administrative processes and performance. A general consensus was reached on a set of objectives for the program, and management options based on these objectives were worked out.

To implement these options, a specific listing of tasks and "next steps" was developed. Some progress has already been made on these -- e.g., RFP's have been issued to clarify "capacity-building" and to establish a methodology for local design of entry/exit criteria. A final report was prepared by the Work Group and issued in July 1980.

Objectives:

1. Children most in need are served.
2. Children served become proficient in English.
3. Children served are able to progress effectively in school.
4. Children served are exited into mainstream classrooms.
5. LEA capacity to provide bilingual education is improved.
6. LEA capacity to provide bilingual education without Federal money is increased.
7. Effective bilingual education methods are demonstrated.

2. Career Education

Background: The Career Education Program is administered within the Department of Education by the Office of Elementary and Secondary Education. For FY 1980 the original appropriation was $20 million, but a requested recission reduced this to $15 million. The bulk of the funds were expended under the state formula grant program at the direction of the Congress for the implementation of Career Education. The Evaluability Assessment of this Program was one of the earliest initiated in education. It was carried out under the direction of OE's Office of Evaluation and Dissemination through a contract awarded to the American Institutes for Research, and work began in October 1979. A description of the intended program was constructed through document review, interviews with Program managers and with policy-makers in OE, and conversations with congressional staff. Telephone interviews were also held with 40 individuals and representatives of organizations who had been active in urging Congress to pass the new law to implement Career Education. Ten states and over 30 intermediate and local agencies were visited to talk with education officials, teachers, and counselors in order to find out how the program was actually being put into operation. An extensive list of possible performance measures was prepared, but, since this is a state grant program, both the objectives and the measures had to be separated into those appropriate for the Federal level and those for the State level. An interim report on the EA was produced in March 1980 and was given wide circulation to permit discussion at Federal, State, and local levels. The final report on the Evaluability Assessment was issued in August 1980.

National Objectives:

a. There will be a significant increase in all states' capability to implement Career Education.

b. The Career Education concept will be widely understood by key actors at the national, state, and local levels (Key actors include leaders in business, labor, industry, professional, civic, and community groups as well as educators.)

c. The program of incentive grants to states will be administered on an efficient and timely basis.

d. The discretionary program of (1) model and demonstration project development and dissemination and (2) occupational information dissemination authorized by P.L. 95-207 Sections 10 and 12 will be administered in a timely and efficient manner.

State Objectives:

a. State Education Agencies (SEA's) will appoint functional state Career Education coordinators, apply for and use P.L. 95-207 funds, and initiate or increase state investments in Career Education implementation.

b. Awareness of and commitment to Career Education among key actors at the state and local level will be developed or increased.

c. Increased state funding will be made available to LEA's for Career Education implementation in accordance with P.L. 95-207, Sections 8(a)(3), 8(b), and 8(c).

d. Improved evaluation of Career Education implementation at the state and local levels will be conducted, reported, and used.

e. There will be a significant increase in the number of Career Education projects applying for and obtaining state validation and adoption support funding through ESEA Title IVC.

3. Cooperative Education

Background: Cooperative Education is a small discretionary program ($15 million in FY 1980) located in AS/PSE. The EA for this program was conducted by the contractor, Applied Management Sciences (AMS), with work beginning in September 1979. Despite some problems caused by discontinuity in program management and among policy makers, the usual EA procedures have been completed. Description of the program's objectives and logic was pursued as far as was feasible. Visits to 12 sites confirmed that project administration was generally consistent with short-term Federal objectives. Measurement of performance in achieving these "process" objectives was found to be feasible. A draft AMS report was circulated within the Work and Policy Groups for comments in May, 1980, and a final report was delivered to DHHS/ASPE in June.

Objectives (By grant category):

Research Grants

- To provide program operators with objective research findings about the efficacy of the Cooperative Education (Co-op) model and alternative methods for operating a Co-op program.
- To improve the quality of Co-op programs by increasing the operator's information base.

Training Grants

- To foster a commitment to the implementation of the Co-op model in institutions of higher education (IHE's)

- To provide Co-op personnel at IHEs with information and skills needed to plan, operate, and monitor a Cooperative Education program.
- To improve the quality of Co-op programs through strengthening the skills of program operators.

Demonstration Grants

- To establish comprehensive, institution-wide Co-op programs at a limited number of institutions of higher education.
- To increase the number of students enrolled in these programs.

Administrative Grants

- To stimulate the development and expansion of Co-op programs at institutions of higher education.
- To make Co-op programs accessible to students throughout the United States.
- To foster experiential learning as an alternative educational model.
- To develop high-quality programs.

4. Early Childhood Education for the Handicapped

Background: An evaluability assessment of the aspects of education programs for the handicapped which address the early childhood topic was initiated by DHEW's Office of Evaluation and Technical Analysis in July 1979. This assessment cross-cut both programmatic and organizational lines, since the early childhood education effort is carried on under eight separate programs and several divisions. A total of $89 million out of the funds appropriated for the eight programs was directed to the early childhood effort in FY 1980, under the Office of Special Education and Rehabilitative Services. The decision to focus the assessment on a topical area, rather than on an intact program with a single piece of authorizing legislation and a single accountable manager, was made based on the high priority of this topic and the difficulty of addressing the entire Handicapped formula grant program with a single study.

The study was conducted by Applied Management Sciences over an eight-month period. The AMS staff first reviewed documentation and interviewed program managers, policymakers in DHEW, Congressional staff and representatives of pertinent national organizations to obtain a description of the intended early childhood effort. To compare the intended effort with operational reality, team members visited 24 projects in three states. Additional work sessions with program staff were held to refine the description of the agency's intended effort. As a result of these activities, the study team was able to document Early Childhood objectives and activities, develop lists of existing and suggested measures, assess the plausibility of the various programmatic activities involved in the effort, and propose eleven options for program management and evaluation. OSERS has begun the implementation of these options.

Objectives:

1. Decrease the relative frequency of special class placements for school-age children.
2. Increase the functional independence of school-age handicapped children.
3. Provide full and free public educational opportunities for all handicapped children from birth to five years of age.

5. Follow Through

Background: Follow Through is a $59 million discretionary grant program administered by the Office of Elementary and Secondary Education. The Office of Education evaluability assessment review board selected Follow Through for an EA in March 1979, and a first EA was conducted by DHEW/ASPE from March until July 1979 using in-house staff. This initial EA revealed problems in both the definition and actual operation of the program. Policy makers and program managers agreed that the status quo was unsatisfactory. Congressional staff believed that Follow Through should be an antipoverty service program, while OE policy makers saw the program as having educational research as its main emphasis. Objectives could only be described in tentative, "global" terms. These findings helped stimulate a policy discussion within the Education Division concerning the appropriate weighting for the "service" and "knowledge production" elements of the program, after which an 80-20 percent distribution in favor of service was established.

ASE also approved further study of Follow Through to develop project-performance indicators. This follow-up study was conducted under ASE oversight by a contractor, Applied Management Sciences, and included a second evaluability assessment which ran from September 1979 to February 1980. The AMS evaluability assessment, like the first effort, was unable to obtain agreement on "mid-level" objectives for program management. However, it was able to define the various policy choices confronting the program and their implications for management of the program and design of the performance indicators. The study progressed beyond the original EA in that it examined grantee and sponsor perceptions of the program and compared those with ED perceptions to develop a model of the program which reflected a wider perception of the program. The evaluability assessment phase of the second study was intended to add field perception to the assessment and to lay the base for development of a performance indicator system.

Following completion of the EA phase, a set of performance indicators has been developed in consultation with selected grantees, sponsors and DFT staff. Since final decisions on DFT national policy objectives are still pending, the indicators were developed from the legislation and regulations in effect in 1980. In addition, the study discussed the probable implications of alternate policy options. A limited test of the indicators was conducted in November and a final report on the study is due by the end of December 1980.

6. Institute for Museum Services

Background: The Institute for Museum Services (IMS) administers a discretionary grant program for general operating support of museums. The Program Director expressed interest in an evaluation of the program and requested assistance from ASPE. Since the Institute was about to be transferred into the Education Department, ASPE responded with a brief study focused on the specific interests of program management. The study, which was planned by ASPE as an experiment in shortening EA methods, began in October 1979. It was conducted entirely by ASPE staff. A description of the program's objectives and functional logic was worked out from discussion with IMS management, review of written materials, and a telephone survey of museum administrators. The Work Group did not conduct site visits to observe actual operations or interview external policy makers to obtain their views on the program's purpose. The likelihood of reaching the objectives was assessed and options were proposed for improving management and for evaluating effectiveness. The performance measures suggested are related to internal processes rather than to measurement of ultimate impact. The report on the assessment was produced in January 1980.

Objectives

1. Increase awareness of the program among museum professionals.
2. Increase awareness of museums' needs among the public, legislative bodies, and other agencies.
3. Improve museum operations.
4. Improve the funding process within IMS.
5. Attract additional resources.
6. Get more funds to museums for general operating support (primary objective).
7. Ease financial burdens.
8. Maintain, increase, or improve museum services to the public, improve museum planning and management, and modernize methods and facilities.

7. Language Training and Area Studies

Background: Foreign Language and Area Studies (FLAS) is a $17 million discretionary program located in the Office of Postsecondrary Education which funds fellowships, area studies centers, exemplary projects, and research. The evaluability assessment of FLAS began in October 1979 as the first part of a large-scale evaluation study conducted by the Rand Corporation.

This study was a variation of the usual EA procedures established by DHEW/ASPE. Emphasis was placed on stimulating a policy-discussion process rather than on developing and verifying a descriptive model. Instead of beginning by finding a consensus on program objectives and logic and then testing this model against field experiences, the Rand team surveyed both policy-makers and field participants to arrive at possible program alternatives. Performance measures are included for the program approaches.

In conducting the study, Rand interviewed over 400 respondents, including Congressional and Executive Branch officials. Field interviews were conducted at more than 20 sites selected to give a cross-section of participants. The field interviews identified some problems that may reduce the plausibility of actually achieving program objectives.

A draft report was delivered in November 1980 and the final version is expected early in 1981.

Objectives

1. Promote the training of foreign language/area specialists.

2. Promote the general diffusion of international knowledge.

8. Vocational Rehabilitation

Background: The Basic Grants portion of the Vocational Rehabilitation Program is an $817 million formula program which was transferred to the department of Education and is now administered within the Office of Special Education and Rehabilitative Services (OSERS). An evaluability assessment of the Basic VR program was begun in August 1979 by DHEW/ASPE and conducted by its contractor, Urban Systems Research and Engineering Inc. of Cambridge, Mass. ASPE continued to manage the EA through its completion in October 1980.

The Basic VR program is decentralized in its administration, with State VR agencies taking responsibility for actual delivery of services. In this EA, attention was focused on administrative processes at the Federal level. Objectives were expressed in terms of the efficiency and effectiveness of these processes in influencing the State agencies rather than in terms of impact on clients. The assessment of the plausibility of the program also was focused on Federal administrative functions rather than on the service delivery system over which the Federal managers have no direct control.

Within these boundaries, the EA was conducted according to the normal procedure. A description of the intended Federal administration of VR was developed which incorporated the views of OMB and Congressional staff. The actual operation of the Federal functions as reviewed in site visits to Federal efforts was presented and followed up with a broad range of options for improving their management.

The draft report on this EA became available in July 1980 and was used as a basis for briefings of VR staff. The final report will be received in December 1980.

Objectives

1 Insuring that the law is administered uniformly nationwide.

2. Encouraging and supporting State VR agencies to improve the quality and cost-effectiveness of the program according to nationally-defined priorities.